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ABSTRACT

This is one of three companion volumes that present the theoretical basis, instructional strategies, and participant materials for the Preparing Educational Training Consultants: Organizational Development (PETC-III) program, an instructional system for training school system organizational development (OD) consultants. This particular publication presents procedural guidelines, instructional materials, and relevant background information and theoretical data for use by participants in the PETC-III program. These materials are designed to correspond to the instructional strategies outlined in the previous volume and are numbered accordingly. The PETC-III program is one of eight instructional systems that together comprise the Providing Organizational Development Skills (PODS) program, which is intended to provide educators with the knowledge, skills, and sensitivities to organize and manage educational systems in more relevant, humane, effective, and efficient ways. The eight component systems of PODS are most effective when taken sequentially; PETC-III is intended to be the last step in that sequence. The training design of PETC-III calls for five separate 3-4 day workshop sessions totaling 17 days, to be held during a period of 6-8 months. (JG)

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PETC-III

Preparing Educational Training Consultants: Organizational Development

ED144193

EA 009 892

Participant Materials

René F. Pino
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Preparing Educational Training Consultants: Organizational Development (PETC-III)

PREFACE

For ease of handling during training, the participant materials are divided into sections by meeting and color coded. Agenda sheets, which outline all the activities of a session, have been printed on yellow paper. Procedures, shown on blue paper, specify how each portion of an activity is to be completed. Resources, printed on green stock, include much of the background information and theoretical data for the training.

These materials have been designed to accompany the instructional strategies. They mesh and interface with the directions for the activities of the eight-month training schedule. Their usefulness is seriously impaired without the strategies, which delineate the when, where, what and with whom of their use. That volume is entitled:

> Pino, René F. and Ruth P. Emory. *Preparing Educational Training Consultants: Organizational Development (PETC-III) Instructional Strategies.* Portland, Oregon: Northwest Regional Educational Laboratory. 1976.

In addition to these two volumes, the training requires a third volume of theoretical ideas central to the PETC-III training system.

> Jung, Charles C. *Organizational Development in Education.* Portland, Oregon: Northwest Regional Educational Laboratory. 1976.

Participants of PETC-III are requested to purchase three other books which contain resource readings used intermittently throughout the training period. These are:

> Schmuck, Richard A. and Matthew B. Miles. *Organizational Development in Schools.* Palo Alto, California: Mayfield. 1971.
>
> Schmuck, Richard A. and Philip J. Runkel. *Handbook of Organization Development in Schools.* Palo Alto, California: Mayfield. 1972.
>
> Koberg, Don and Jim Bagnall. *The Universal Traveler.* Los Altos, California: Kaufmann. 1974.

Saralie B. Northam
Editor

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ABBREVIATIONS

A	Activity
CASEA	Center for the Advanced Study of Educational Administration
CEPM	Center for Educational Policy and Management
CI	Central Ideas for PETC-III, *Organizational Development in Education*
DDM	Differential Diagnostic Matrix
DIM	Differential Intervention Matrix
ITCP	Improving Teaching Competencies Program (a program within the Northwest Regional Educational Laboratory, Portland, Oregon)
LGs	Learning Groups
NA	Not Applicable
NWREL	Northwest Regional Educational Laboratory
OD	Organizational Development
P	Procedure
PETC-I	*Preparing Educational Training Consultants: Skills Training*
PETC-II	*Preparing Educational Training Consultants: Consulting*
PETC-III	*Preparing Educational Training Consultants: Organizational Development*
R	Resource
RUPS	*Research Utilizing Problem Solving*
SAFE	*System Approach for Education*
TUs	Training Units

FIRST MEETING

Activity 1: Introducing PETC-III Organizational Development

Purpose: To get acquainted or to get together in the PETC-III context if already acquainted. To provide the opportunity for clarification of questions that may remain concerning the nature and expectations of the training. To form the learning groups[1] that are basic to the training.

Objectives: Given an informal setting and a set of instructions, the trainees and trainers will spend time informally getting acquainted or getting together, depending on whether members of the group know each other.

Trainees will identify and clarify any lingering doubts or questions about the PETC-III training format and expectations. Trainees will have the option of withdrawing if serious, unreconcilable questions about expectations surface. Each training unit[2] will be assigned to (or will select) two other TU's, forming the basic LG's for the training.

Time	Agenda	Materials
20 min.	1. Get acquainted	
30 min.	2. Review training expectations	
20 min.	3. Identify issues	CI, Introduction of *Organizational Development in Education*[3]
40 min.	4. Form LG's	A1, Introducing PETC-III Organizational Development R1, Forming Learning Groups

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[1] Henceforth, the abbreviation LG will be used to denote *learning group*.

[2] Henceforth, the abbreviation TU will be used to denote *training unit*.

[3] Jung, Charles. *Organizational Development in Education*. Portland, Oregon: Northwest Regional Educational Laboratory, 1975. Henceforth, the abbreviation CI will be used to denote this book of *central ideas*.

Resource 1: Forming Learning Groups

In PETC-III much time and energy will be expended by the TU's in diagnosing, analyzing, planning and implementing plans for their organizational projects. From time to time opportunities will be provided for TU's to explain their work and receive reactions and critique about it. Some comments will come from the trainers. However, much of the critique will occur within the LG groupings.

Rationale for Learning Groups

Four reasons are given below for the formation of LG's. These reasons will be familiar, since they reflect the philosophy of the prerequisite training.

1. An LG provides a dependable, stable source which enables trainees to help each other learn, keeping learning in the hands of the learner
2. An LG is a continuing source from which trainees can expect to receive support and encouragement
3. In a small LG, each TU is assured ample time for giving and receiving feedback on its work
4. An LG makes possible a more efficient utilization of time

Size of Learning Groups

In PETC-III the LG consists of three or four (preferably three) TU's of two or three persons each. Each LG will therefore contain a minimum of six persons and a maximum of twelve persons.

Forming Learning Groups

The way LG's are formed depends on the judgment of the trainers. The trainers have two options:

1. To invite the trainees to form their own LG's. In this case the TU's will negotiate with each other and form LG's. The trainers will announce the number of TU's each LG should contain.
2. To form the LG's by assignment. In this case, the trainers will have a rationale for making assignments and will share it with the trainees.

In either way of forming the groups, part of the procedure includes giving the opportunity to propose changes before concluding the formation.

Activity 2: Part I of Analyzing Organizational Data

Purpose: To gain knowledge of PETC-III concepts about organizational development.[1] To provide an opportunity for analysis of the data collected in the preworkshop assignment. To enable trainees to provide for others in their LG's a picture of their organization and receive reactions to the presentation of data about their organization.

Objectives: Given a set of procedures for analysis of data collected and Chapter IV of the CI, trainees will follow guidelines, will answer questions and will apply correctly the phases of planned change, the differential diagnostic matrix and the differential intervention matrix.

Given instructions for preparation for three rounds of reporting, reacting and observing in the LG, TU's will make specific plans for taking the role of client, consultant and observer and for debriefing the activity by identifying findings (learnings) and participating in the activity.

Given selected parts of Chapter II of the CI and a set of instructions for individual study and small group discussion, trainees will identify and clarify some basic concepts.

Time	Agenda	Materials
30 min.	1. Introduce activity	A2, Part I of Analyzing Organizational Data
2½ hours	2. Analyze organizational data	P1, Analysis of Organizational Data Chapter IV of the CI R2, Critical Issues in the Phases of Consultation R3, Tailoring Organizational Development Interventions for Schools
60 min.	3. Prepare to receive and give feedback or data analysis	P2, Report of Organizational Data Analysis (Part I) R3 R4, Major Kinds of Problem Solving

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[1] Henceforth, the abbreviation OD will be used to denote *organizational development*.

		R5, Differential Intervention Matrix R6 Differential Diagnostic Matrix P1 P3, Observer Evaluation
4½	4. Give and receive feedback	P2 (Part II) P3
5 hours	5. Apply concepts in Chapter II to own organization	Chapter II of the CI P4, Application of Concepts in Chapter II to Own Organization R7, Growth and Maturity Possibilities for a Human System (I) R8, Growth and Maturity Possibilities for a Human System (II) R9, Summary of the Organizational Health Concept R10, How Things Are in Own Organization R11, Organizational Development/Intelligence Quotient Questions

Procedure 1: Analysis of Organizational Data

1. Review Chapter IV of the CI before you start your analysis. Pay particular attention to the phases of planned change as major kinds of work. Read the chapter quickly and proceed to the next step in your TU.

2. Analyze your organizational data by doing the work called for in Part I, page 2; Part II, pages 3-4; and Part III, page 5 in your TU.

   Part I is an analysis of the awareness of the need and desire for change in your organization. The data you now have are preliminary and tentative, of course. In some cases you may have no basis at all for responses to items in Part I. Part II is based on the early phases of planned change found in Chapter IV.

   Part II is an analysis of the data you now have based on operational characteristics and functions as described in Chapter IV. As you read these pages you will note that the descriptions are based on the organizational level of human system as described in the differential diagnostic matrix.

   Part III is a reading assignment and an assignment to write a list of inferences you may be able to draw from your work in Parts I and II for work you may need to do next in your organization.

   The analysis you will do will be reported in your LG.

You have 2½ hours to do this task.

Part I

Analyze the awareness of the need and desire for change in your organization by doing the two steps outlined below. Use Resource 3 as needed.

Read the questions in the left-hand column below.

Respond to the questions (in the right-hand column) by writing your answer and providing evidence from your data or personal experience. If responses to questions do not come readily to mind, go on to other items.

Questions about awareness of need and desire for change	Responses to questions, with evidence from your data or personal experience
What are dissatisfactions in your organization?	
What evidence do you have that there is a desire for change or improvement?	
Who are the people in your organization who are aware that OD work might be helpful?	
What, if any, ideas or clues are there in your data about why and how things are happening in your organization?	
If you think you need additional data to answer the preceding question more adequately, what kind of data do you think you might collect?	
What people need to be involved and what decisions need to be made in order for action to begin? (Any action -- e.g., getting started at any point or proceeding toward any improvement.)	

Part II

Read "Functions at the Organizational Level" and "Operational Characteristics at the Organizational Level" in Chapter IV of the CI. The analysis you are about to do will be based on these descriptions.

Focus on this question: What problems (actual or potential) are there in your organization that result from operational characteristic issues?

Use the grid on page 4 of this procedure for your analysis. The grid provides one square for each FUNCTION. Provide answers to the three questions below for as many functions as you can.

1. What is a problem or what is problematic? (See page 4 for list of operational characteristics.)

2. Do you have sufficient information about this function?

3. What do your data tell you about this function? (Select one of the following: weak, adequate, missing, strong, inadequate, malfunctioning or not applicable to your organization [NA].)

Sample Answers to Questions

Managing:

Answer to Question 1:	Members of organization not clear about their influence and so are reluctanct to accept managing roles
Answer to Question 2:	No
Answer to Question 3:	Inadequate

If you cannot respond at all to a function, write "cannot respond" in that cell.

Diagnosing Functions

Functions			Operational Characteristics
Managing:	Planning:	Legitimizing:	Membership Influence Feelings Roles Communications Values Goals Means Skills Material Resources Energy Perception Interdependence Individual Differences Productivity Boundaries
1.	1.	1.	
2.	2.	2.	
3.	3.	3.	
Inventing:	Sensing:	Evaluating:	
1.	1.	1.	
2.	2.	2.	
3.	3.	3.	
Valuing:	Storing:	Retrieving:	
1.	1.	1.	
2.	2.	2.	
3.	3.	3.	
Diagnosing:	Assessing:	Producing:	
1.	1.	1.	
2.	2.	2.	
3.	3.	3.	
Deciding:	Reporting:	Validating:	
1.	1.	1.	
2.	2.	2.	
3.	3.	3.	

Part III

A. Read Resource 3, Tailoring Organizational Development Interventions for Schools, pages 19-46.

B. Write a list of inferences you draw from your reading and your analysis (on pages 2 and 4 of this procedure) that may have some bearing on the kind of organizational work you may need to do next.

Resource 2: Critical Issues in the Phases of Consultation[1]

1. Identify need for change

A. Clarify or develop the client's motivation to change

B. Assess the change agent's potential helpfulness

Relevance of his/her resources, interests and competence to the client's need

His/her job security in relation to the client system

Relations among members of the change-agent team

Compatibility of his/her different objectives (to help the client, to conduct research, to get promoted within the company, etc.)

Time he/she has available

2. Establish consultant relationship

C. Establish effective relations between the change agent and the client system

Role of each in planning and conducting the program

Expectations of each regarding the amount and kind of effort required of each in the change program

Restrictions (if any) upon the kinds of changes that are allowable

Who the client is and whom the change agent's relations are with

---

[1] Adapted from Buchanan, Paul C. "Crucial Issues in Organizational Development," in *Change in School Systems*, Goodwin Watson, editor. Washington, D. C.: National Training Laboratories, Cooperative Project for Educational Development, 1967, pp. 58-59.

	Expectations regarding the role(s) or kind(s) of help that the change agent is to provide
3. Clarify or diagnose client's problem	D. Clarify or diagnose the client system's problems Concepts in terms of which diagnosis is to be made How information is to be obtained and from whom it is to be obtained Use of data in diagnosis Development of diagnostic skills of members of the system Determination of the boundaries of the client system
	E. Establish instrumental objectives for change (How should we operate?)
4. Examine alternatives and establish intentions	F. Formulate plans for change Link to other persons, issues and/or parts within the internal system Link to other persons, parts and/or issues in the external system Develop time schedule and build time expectations Develop procedures and/or structures for carrying out plans Provide for anticipator testing of plans Develop competence of those involved in taking actions Develop motivation for carrying out plans
5. Transform intentions into change efforts	G. Carry out plans for change Maintain support and understanding from the larger system

	Obtain feedback on consequences of early action steps Coordinate efforts of different people and groups involved
6. Generalize and stabilize change	H. Generalize and stabilize changes Assess the effects of the change upon the total system Look for "regression" Facilitate spread to other parts of target system and to adjacent interdependent systems
7. Achieve terminal relationship	I. Institutionalize planned development or self-renewal Develop problem-sensing and problem-solving skills and mechanisms in all components of the system Develop reward systems that facilitate innovation Establish a change-agent role in the system

Resource 3: Tailoring Organizational Development Interventions for Schools[1]

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[1] Schmuck, Richard, Jane Arends and Richards Arends. *Tailoring Consultation in Organization Development for Particular Schools.* Eugene, Oregon: University of Oregon, Center for Educational Policy & Management. October 1974.

Since the summer of 1967, our research and development program for building strategies of organizational change has been testing the uses of organizational development (OD) consultation as a strategy for school improvement. The program has included at least six different projects or subprojects in which more than forty elementary and secondary schools have received some sort of OD consultation. Although our program has issued over sixty reports about these various intereventions, no report yet has listed any guidelines for tailoring OD consultations for particular schools. Since one of the essential principles of our theory about school change is that each intervention should be, to some degree, a unique series of events, we think it time to make an initial listing of guidelines.

In what follows, we give our current ideas about some important characteristics of school organizations, the sequential and cyclical aspects of OD interventions, the dynamics of entry, approaches to diagnosis, and issues related to designing OD interventions. At the close of each section of this paper, we summarize some important guidelines for tailoring OD interventions for schools. The paper concludes with an annotated bibliography of relevant papers and books.

Special Attributes of School Organizations

Organizational development consultation has largely been carried out in industrial organizations. At the time of the review of research on OD by Schmuck and Miles (1971), they pointed out that OD departments and programs had proliferated throughout the business world. They estimated about 250 organizations had substantial OD programs under way in 1970. They also pointed out, in contrast, only a handful of OD interventions could be found in public schools. Indeed, the eleven chapters of that 1971 book surveyed virtually all of the contemporary OD efforts in public schools.

It is not unusual, therefore, that the assumption of many OD practitioners has been that schools are not seriously different from other complex organizations. Without much experience in school organizations, many OD practitioners might conclude that training strategies being used successfully in industrial OD training programs can be used in public schools with little modification in theory and technology. The experience of our research and development program has been to the contrary. Our analyses indicate there are indeed differences in schools that make a different in OD interventions.

One characteristic that differentiates schools from industrial organizations is the quality and kind of goal statements. Our analyses and those of the Cooperative Project on Educational Development have clearly shown the goals of school organizations are special in at least three ways. First, educators expend a great deal of energy working toward goals that are never explicitly stated. For example, while laws mandating compulsory attendance and graduation requirements support the custodial and sorting functions of schools, lists of metagoals for schools rarely mention these issues. Second, there is an immense diversity of goals for education as well as a steady proliferation of them. Each new critic of our schools and each new alternative educational organization provide evidence that someone is articulating still another list of goals toward which schools should be striving. Educators do not have the time to understand, internalize or come to value the new goals as fast as they are promulgated. Third, the explicit and agreed upon goals of schools take a long time--usually twelve or more years--to become actualized in the behavior of students. Educators must face the frustration of this length of time with a huge new crop of students each year; a frustration that is further complicated by the absence of indicators and a technology to check at interim points.

No wonder, then, that consultants, educators and patrons alike are frustrated. Consultants have a problem drawing their client's attention to discrepancies between current and ideal performances. Educators themselves do not know how to tell when they are doing well and often are confused or distressed by conflicts with patrons over the evidence the patrons use. Patrons are similarly baffled when they try to hold the school accountable for the kinds of graduates it produces.

A second characteristic that distinguishes the school from industrial organizations is the amount and kind of role differentiation that exists. Jobs in schools tend to be much less differentiated than in many industrial organizations in which consultation in OD has flourished. Even with increased emphasis on differentiated staffing in schools and the movement to unionize "teacher-workers," there still are few levels of role differentiation in schools. Particularly noticeable are the absence of middle level management and of status levels within the paraprofessional or support staff. While the differentiation among these levels is minimal, specialization--based on real or imagined content differences--by grade level and subject matter is extreme. Neither condition supports norms of active collaboration since teachers and others at the middle level put more emphasis on sharing in the functions performed by superordinates and subordinates than they do on their interdependence with one another.

This characteristic of school organizations similarly causes problems for consultants, educators and patrons. Consultants tend to realize in their actions that which Saturen's research (1974) showed: staffs which do not value collaboration and variety among their number do not use OD consultation to advantage. Educators are frustrated because their roles are carried out invisibly and with little access to feedback; supervisory relationships are unclear and mechanisms by which colleagues can observe and help one another are undeveloped. And patrons are inevitably confused when they try to choose the person to whom they should go with their concerns.

Another characteristic that distinguishes schools from industrial organizations is that the former typically are more vulnerable to short-run pressures from the public than the latter. Standing largely in a noncompetitive relationship to their environment, schools tend to respond either defensively or laggingly to long-run shifts in their cultural, social and intellectual environments. In relation to this pawn-like behavior on the part of educational organizations, school personnel frequently possess a thin knowledge base for managing their own professional affairs. Such quasiprofessionalism on their part promotes status insecurity, ritualistic use of procedures, and scanty communication among staff members in many schools.

When added up, vulnerability to short-run demands, reactivity to each new external pressure, and quasiprofessionalism tend to encourage a "crisis orientation" to managing the school. Management by crisis especially has been reflected in many strategies of staff development in school districts. The stories of consultants who, for example, appear for one day to help the staff set up a Black studies program, a workshop on reading, a community action board, or some other major effort are all too frequent. The hit-and-run mode of consultation has not produced many significant and lasting changes and has been rightfully resented by many educators as a waste of their time.

Our analysis of schools as particular kinds of organizations may be viewed as overly pessimistic. Indeed, the various properties that we have cited appear to lessen the probability of organizational improvement in schools. It is true, of course, that these properties do account, in part, for lower rates of change in schools than in business organizations. They also provide clearly defined change goals and leverage points for the OD consultant. For example, a staff's lack of clarity about its goals often leads to a level of frustration that makes very attractive the possibility of clarifying goals during an OD intervention. Also, it has been our experience that many teachers, because of their low level of interdependence with other staff members, feel isolated, alienated and lonely. Organizational development interventions that increase sharing among faculty members often liberate a good deal of energy, lift morale and make the school an exciting place in which to work. This is true, at least, for those faculties with a norm in support of collaboration and variety. Finally, we have found that many faculties are attracted to the OD consultant who undertakes a long-term commitment to the school (they have often been left high and dry) and by the possibility of raising their own problem-solving abilities.

The following guidelines for the OD consultant take into account these unique features of school organizations.

Guideline 1: Continually restate the goals of the consultation.

The OD consultant should continually restate the goals of the consultation to the clients. Moreover, the OD consultant should attend especially to helping school people to define--both philosophically and operationally--their own shared goals, as well as to become aware of goal-conflicts within their own groups and between their group and others.

Guideline 2: Be prepared to undertake procedures for increasing organizational readiness.

Norms in support of collaboration and variety are integrally related to a successful OD effort. The OD consultant may have to focus on increasing these group norms prior to launching into a full-fledged OD consultation. Action strategies for raising a faculty's normative readiness for OD are described in Saturen (1974).

Guideline 3: Make it clear that successful OD requires sustained effort over many months.

School personnel often will want, and perhaps expect, an OD intervention to last for a short time to solve some immediate challenges. The OD consultant, however, should emphasize that OD is a planned and sustained effort for system improvement with an overarching goal for school personnel themselves to build the knowledge, skills, norms and organizational structures necessary for continuous, proactive organizational problem solving. Such an intervention will have to go on for several years, in most schools, before an internal capacity for continuous problem solving is built.

Sequential and Cyclical Aspects of OD

A typical way of viewing OD interventions is to understand them in terms of a sequential movement from one stage to another. For example, the consultant first becomes involved in "making entry," during which he or she discusses the OD effort with a variety of the clients, always including top management (often the superintendent or even the school board are included), carries out brief demonstration about what OD is and how it works, and begins to build an informal contract about what the OD effort will attempt to achieve. Next, after the contract is acceptable to all involved parties, the OD consultation moves into a diagnostic stage. Working along with the clients, the consultant collects data about the organization using interviews, observations and questionnaires. These data yield a joint diagnosis of points of malfunctioning within the organization and help to shape the initial macrodesign the consultants construct. In other words, the stages of entry, contract building and diagnosis are followed by macrodesigning, i.e., scheduling a sequence of intervention events aimed at overcoming the problems indicated in the diagnosis. The initial designing is followed by microdesigning for a specific training event, which is followed by implementation, formative evaluation, more designing, and so on.

While this evolutionary perspective on OD interventions is useful, another way of looking at an OD consultation, often ignored, can also be very useful to the consultant. Organizational development interventions are not only sequential and successive, they also are cyclical, with very similar developmental issues coming up again and again. Even though particular tasks between the consultant and client accrue more to some stages than to others, the consultant and client still continuously face many of the same problems. For example, core themes during entry are trust, rapport and dependability. These very same themes recur, inevitable, during diagnosis and again during training. As another example, even though diagnosis properly takes center stage after contract building, the clever consultant will be assessing what is happening within relationships among the clients right from the first meeting. In other words, the OD consultant should be collecting diagnostic data during entry, contract building and training. At the same time, a large measure of "true entry" in terms of trust and acceptance can occur during one-to-one interviewing within the formal diagnostic stage.

Guideline 4: Assess progress at each stage to ascertain how much of earlier stages needs to be recycled.

The stages of OD can be viewed as sequential and successive; each major stage follows another in time, and solutions to problems at any later stage depend on the resolutions made during prior stages. Consequently, mistakes made during entry will probably come back to haunt the intervention during periods of training or assessment. Similarly, a poorly agreed upon contract may later upset the flow of the macrodesign.

Guideline 5: Be sure the macrodesign includes microdesigns for recycling the processes of trust building, goal setting and diagnostic information gathering.

It is also useful to view the stages of an OD intervention as cyclical and continuous. Dynamics involving trust building, goal directing and information gathering (occurring during entry, contract building and diagnosis respectively) occur one after the other in the "big," but also are continuously happening in the small." Consultants with this insight will be more likely to tailor their OD efforts for particular clients than those without it.

The Dynamics of Entry

Although a consultant may be initially contacted by an individual at any level of the organizational hierarchy, the typical place to begin interactions that lead to a sustained intervention will be between the consultant and key leaders, e.g., the superintendent or the principal. Unfortunately, OD consultants do not often seem to realize the importance of the very first meetings with clients. What happens during entry can forshadow much of what follows. The rapport that is established and the clarity of shared expectations are extremely important components in building the intervention on a solid foundation of support. Moreover, the consultant should notice the extent to which a collaborative stance is adapted by the clients. Obviously, the consultant should be especially alert to the reactions of key authorities, since they hold crucial gatekeeping power over subsequent contacts with other members of the system. The establishment of a relaxed rapport, along with clear statements about expectations, motives and competencies, are necessary to obtain collaboration between the OD consultant and key authorities. At the same time, the consultant should keep in mind that he is working with a system and not just with individuals. The consultant will want to test the authorities' willingness to carry introductory discussions of the potential program to others. Naturally, how the consultant is introduced to more subordinate personnel will influence subsequent rapport and effectiveness. Part of the consultant's interest, therefore, is in raising the interest, information and enthusiasm for OD of the key authorities in the system.

The consultant will not gain commitment or even acquiescence from the others in the client system merely through the approval of the top people. With the authorities' approval, the consultant will at least acquire the legitimate power to call meetings and to present the goals and methods of OD. A brief demonstration of OD procedures can be a very useful first step for attempting to attract the interest of an unsophisticated staff. And it is very important to include as many members of the client system as is feasible. Less powerful participants in the organization should not form the conviction that they are less important to the consultant than the administrators in authority. If the project is district-wide, as is the case when an internal cadre is prepared, the consultant will want to obtain acceptance for the project from every significant subsystem or group within the district. Even if organizational development consultation is limited to a single school, it will be necessary to get the powerful persons on the faculty, along with as many of the other staff members as possible, to support the project before proceeding very far with the intervention.

Since one of the most important features of entry is framing a contract between consultant and client system, all participants should share their expectations, reach some agreements on what will and won't happen during the intervention, understand the intervention is aimed at process rather than content goals, and agree in advance on the approximate number of hours to be involved in the intervention. One way of structuring the discussion of process goals is for the consultant to depict the school as a resource-using system with resources flowing in and with human products coming out. Between the input and the output are the "throughput" processes of the school, which have to do with the organizational and group processes that tie together students, teachers, administrators and curriculum materials. The throughput processes, which include communication, goals, conflicts, problem solving and decision making, are the stuff of OD consultations.

The consultant should be certain to note that improvement of these processes through OD consultation will take time. Recent evidence (Wyant, 1974) indicates, for example, that less than 25 hours of training in communications skills and problem solving for a staff can have long-run detrimental effects. Staffs that receive over 30 hours of training in communication and problem solving, in contrast, typically show favorable gains. The ideas of throughput processes and of adequate time and followthrough should be presented, in so far as possible, through experiential activities, supported by eye-catching materials on paper or through other media during demonstrations.

It is also important to keep in mind that the dynamics of entry can arouse various intense feelings. As the consultant and the client assess each others' readiness and competence to enter the relationship, issues of trust and suspicion, well-being and dissatisfaction, investment and cautiousness, and openness and closedness are very near the surface. We believe that direct acknowledgment of these feelings is a prime requisite for valid contracts. The hidden issues for both the clients and the consultants should be uncovered and discussed. Sound consultant/client relationships will not be forged by agreements about tasks alone. Although discussions of throughput processes, consultative techniques and timelines are important, entry should also include personal reflections and discussions of interpersonal feelings.

Guideline 6: Establish collaborative relationship with key authorities.

Right from the beginning of the intervention, it is crucial for the OD consultant to establish a clear, supportive and collaborative relationship with the key authority figures in the client organization.

Guideline 7: Engage all participants in introductory demonstrations and contract building.

Introductory demonstrations and contract-building meetings should take place with all participants in the client system before any formal training is launched. Discussions on the processes of focus for OD consultation and the amount of time the consultation will take should be communicated in graphic and experiential ways during this period.

Guideline 8: Clarify interpersonal relationships between consultants and clients.

Entry discussions should include reflections on the interpersonal perceptions, feelings and motivations of the consultants as well as the clients and only conclude when (a) the consultants think they can and want to help and, (b) the clients think the consultants can help and recognize their own needs and willingness to be helped.

Approaches to Diagnosis

Organizational development consultants must have detailed scientific information on which to base their intervention designs. Gathering systematic data about a school's facilitative or debilitating dynamics is vital to effective action. Furthermore, the OD consultant must communicate to staff members of the client school that particular data on this specific school are necessary for designing a tailored intervention. How else can an OD consultant assure clients of a tailored intervention design except by carrying out a diagnostic data collection? Important among the relevant variables for designing are communication, role definitions, goal setting, the realization of conflicts between groups, the study of processes of meetings, the development of methods for solving problems and reaching decisions, and the qualities of the school's relationships with its community. While collecting such data, OD consultants communicate the focus of the intervention. In this way, the consultants are training clients in a definition of the foci of OD consultation even while they are collecting valuable data for building a macrodesign.

Nowadays, many school personnel will perceive an OD consultant's efforts as "old hat." They will often think of this sort of diagnosis and intervention as having gone on frequently in their school in the past. The innovative Zeitgeist has reigned supreme in many school districts, but promises of change have often not materialized. If this sort of disappointment has been a part of the school's history, the OD consultant must emphasize that diagnosis of where things are now is still absolutely critical. There can be no rational intervention without an accurate picture of the "here and now."

Diagnosis should take place, moreover, with even the most sophisticated faculty. Indeed, comments made by faculty members about their pessimistic expectations for OD consultation are important bits of data in themselves. With cautious or cynical faculty members, special care should be taken to assess the amount of resistance to OD in general and to the diagnosis in particular. The consultant should strive to find out the sorts of training that actually did occur within the school before, along with the sorts of organizational problems that were worked on. The consultant should find out why, from the clients' point of view, previous problem-solving efforts were aborted. Subsequently, the initial real problems attacked during the training can take account of the frustrations of previous problem-solving efforts.

The OD consultant should make use of multiple methods during the diagnostic period. Self-report questionnaires, interview schedules and systems for observation are the consultant's most typical methods. (A repertoire of such measurement devices can be found in Schmuck, *et al.*, 1972). Although these formal data-collection methods will comprise the methods during a great deal of the diagnosis, the OD consultant should also keep in mind that organizational memos and letters, informal conversations with organizational members, and observations made even during a casual visit with clients offer very important information about the organization. At the same time, the consultant should remember that the collection of formal data can strengthen organizational members' views of the validity and the legitimacy of the OD consultation. Ideally, the OD consultant will let his or her first impressions, however obtained, guide the selection of formal questionnaires, interviews and observations, the results of which will be augmented in turn, by insights gained from further informally collected data.

In another place, Schmuck (1973) has listed some principles to follow during formal data collection. It will be useful to repeat some of those principles here. First, the OD consultant should attempt to establish rapport and understanding by interviewing clients prior to collecting data via questionnaires. Second, during the interview, it is very important for the OD consultant to use the communication skills of paraphrasing, describing behaviors objectively, checking impressions of the client's feelings, and describing own feelings when appropriate. Such modeling on the part of the consultant can facilitate the introduction of those very same communication skills later during training sessions. We wish to put special emphasis on the consultant's urging the clients to present descriptions of behavior wherever possible. This will support the conception of the OD process as being objective and constructive. Third, when using questionnaires, the consultant should collect some data that can be easily quantified and other data that can yield quotable phrases. Ideally, the numbers and the phrases will support similar themes and be useful rubrics of information for data feedback during later sessions. Fourth, over the full term of a sustained OD intervention, the consultant should employ the very same open-ended questionnaire item several times to engage participants in discussions about how things are changing within the organization. Finally, during feedback sessions, the OD consultant should make observations of the client group while it discusses meanings of the data and use these observations to encourage a "process-analysis" of the client's own interactions in the "here and now." Thus the diagnosis can lead directly into consultation processes and vice versa.

Guideline 9: Tell clients that a formal diagnosis will precede training.

The OD consultant should tell clients early that a formal diagnosis will precede significant involvement in training. The diagnostic process itself should teach clients about the central variables to be focused upon during the consultation.

Guideline 10: Insist on collecting data on present conditions.

Even though OD methods may appear to be similar to those previously experienced by the clients, the OD consultant should hold firmly to collecting data in the "here and now" so that the design can be developed for the organization as it exists today. In some "sophisticated" staffs, it may be believed that a great deal of diagnosis and problem identification already has occurred and that such activities have had no useful effect. In such instances, diagnosis should emphasize the perceptions that clients hold about the reasons previous problem solving did not sustain itself.

Guideline 11: Use formal and informal methods of data collection.

Formal and informal data-collection procedures both are necessary for gathering information about the operation of the organization. Although formal data will be collected only periodically, informal data should be amassed continuously and perpetually.

Guideline 12: Use diagnoses for feedback to clients and for further planning.

The diagnostic procedures should not be separated from the total OD effort. While the diagnosis is proceeding, consultants and clients should be establishing increased trust and rapport and searching for ways of improving the group processes of the client system. When diagnosis is placed within the framework of data feedback and action research paradigms, it represents OD consultation in the microcosm.

Issues Related to Designing Interventions

The concepts and skills of designing contitute a very basic part of the repertoire of the OD consultant. The tasks of designing are difficult, requiring an understanding of intervention objectives, adequate diagnostic information, knowledge about the probable effects of different training procedures as well as insight into one's own motives.

As described elsewhere (Schmuck, *et al.*, 1972), the designs of OD consultations can usefully be divided into macroaspects and microaspects. Macroaspects include the overall structure and outline, the sequence of parts, and the general forms through which the activities flow. Microaspects are the specific activities carried out during any limited period such as an hour, a day or a week of consultation. Numerous microdesigns for training in skills, exercises and procedures have been described in Schmuck *et al.* (1972). Fitting macroaspects and microaspects to specific objectives and particular participants is a major challenge for the OD consultant. A second challenge is the consultant's ability to differentiate between what may be effective for particular clients and what the consultant is most comfortable doing.

Different diagnoses will lead to different macrodesigns. For instance, sophisticated and unsophisticated faculties require different entry and diagnostic procedures. They also will often call for different emphases in macrodesigns. Thus, while the consultant should try to deal early with real organizational problems with sophisticated staffs, he or she can offer much more skill training in the beginning phases of an OD consultation to unsophisticated staffs. Moreover, particular diagnoses will lead to different decisions in designing. For example, the problem of lacking goal clarity may encourage the consultant to start a training event with an agenda-building activity so that the participants will learn how to deal with very short-term goals as a prelude to dealing with long-term goals. As another example, if decision making appears to be an organizational problem, the OD consultant may choose to present the option of two or more designs and encourage the participants to decide which fits them better. Then the consultant's observations and feedback may help the participants to learn about their difficulties in decision making.

In general, four motifs characterize most macrodesigns we have used. These include training, data feedback, confrontation and process consultation. Each of these four themes is prominent in its causal relationship to the identification of problems. For example, in training, clients learn skills that allow them to share previously unshared data. In data feedback, the consultant collects and reports previously unshared data to the group. In confrontation, another group reports its perceptions to the client group. And, in process consultation, the consultant reports his or her observations of the ways group members work together. Put in another way, in a training design, participants begin to identify real problems through skill practice and simulations. In contrast, problems are identified within a data feedback design by the consultant imposing a great deal of structure on the data he or she has collected. Confrontation designs call for problems being identified as a consequence of cross-role and cross group exchanges, while in process consultation the consultant tries to help group members see their problems during the time they are working together on real tasks.

Schmuck and Miles (1971) presented a cube of characteristics for classifying OD interventions in which the three dimensions of the cube were (a) the mode of intervention, (b) the focus of attention and (c) diagnosed problems. For the mode of intervention, the categories of training data feedback, confrontation and process consultation were included. Also in the list were problem solving, plan making, OD task force establishment and technostructural activity. These last four modes of intervention are often included in large OD efforts. After problems are identified, problem solving takes place and this, in turn, gives rise to plan making. Most plans typically include continuing consultation, which often means that establishing an internal OD resource is commenced. The complete OD effort leads usually to some modification in the technostructural activities of the client system.

On the second dimension of the cube, the foci of attention range from the person through roles, dyads, teams, intergroup relations and the total organization. On the third dimension, diagnosed problems include goals, communication, leadership, decision making, etc.

When designing, the consultant should remember that many of the roots of OD are found in the theory and technology both of "loosely designed" t-groups and of well-organized planned change. These two approaches are, at one simple level, distinguishable in the amount of attention to detailed and rational designing that is done by the consultant in advance. We have no quarrel with well-laid plans, in fact we have found it useful in initial meetings to paint a picture of what the total intervention might look like.

We've also found it helpful to post the agenda or plans at the beginning of an event and to invite clarification from clients. We know the importance of the consultant's self-confidence and his or her willingness to stick to the design (since it was built with care and with certain objectives in mind) even in the face of short-term dissatisfaction on the part of the clients. However, while rationality and attention to detail are elements of any good design, they are not sufficient in themselves. It is also essential to build in a certain amount of slack--of free time to accommodate the unanticipated. This slack allows the unexpected event that can turn a very task-oriented and unexciting consultative session into one where clients come to own their learnings, invent creative solutions to their problems, and find the confidence and zeal to go on. The design should also include time for clients to analyze and critique the design itself and the consultants' behavior. Without this kind of time, the consultant-client relationship does not continuously become more collaborative and mutually helpful.

Guideline 13: Don't let the consultants' personal biases get in the way.

To design OD interventions effectively, the consultant should remember several things at once, including intervention objectives, macro- and microdesigns, and his or her own motives, knowledge and skills. Understanding one's personal attributes is one of the most important resources for effective designing. The OD consultant should not allow personal motives, knowledge or preferred skills to carry full weight in determining the sequence of OD consultation.

Guideline 14: Adapt the themes of training, data feedback, confrontation and process consultation to the local situation.

Decisions about what macrodesign themes should be emphasized are a function of the level of client sophistication and the particular problems that are present in the client organization. Four themes have been found to be useful for designing OD consultation in schools: training, data feedback, confrontation and process consultation. Although these macrothemes are not independent, they do characterize some primary causal linkages to problem identification.

Guideline 15: Build the macrodesign to encompass the mode of intervention, the focus of attention and diagnosed problems.

When building a design, the OD consultant should keep in mind a wide range of possible macroaspects. Three dimensions should pervade the consultant's consideration: (a) the mode of intervention; (b) the focus of attention; and (c) diagnosed problems. Such a complex picture can theoretically lead to over 400 different kinds of designs.

Guideline 16: Phase the work to meet short- and long-term intervention goals. Include time to renegotiate the plan.

Both macro- and microdesigning should be carefully and rationally planned to meet long- and short-term intervention goals. Designs should include certain amounts of time for the unexpected, and the consultants should be clear about what will and will not be negotiable. Periodic and regular time for client-to-consultant feedback is important to maintain the helping relationship.

Concluding Remarks

As we have already indicated, OD consultation for schools is a relatively new endeavor. While much of the focus of OD consultation must necessarily be on applying existing theory and technology from industrial OD to the educational scene, we have always been acutely aware of the need for knowledge and technology specially focused on school consultation and organizational change in schools. Our research and development program at the University of Oregon has had the opportunity and obligation to make such knowledge production and dissemination its basic mission.

Our approach toward this mission has included at least two primary aspects--writing and teamwork. During the past seven years, we have prepared numerous articles, technical reports, monographs, audio-slide presentations and books--some of which are listed in the annotated bibliography at the end of this paper. While the actual writing tasks have been done by individuals who closeted themselves to put their ideas on paper, the ideas and data reported have largely come from the efforts of teams of people. In fact, we have operated, almost without exception, with the guideline that no one should consult solo.

Our reasons for teaming are many. Consultants require more than cognitive information and behavioral skills in making interventions. They also require the interpersonal support, energy and the courage to take appropriate risks. The need consultants have for feedback from colleagues as they take these risks is also significant. We have found that consulting teams composed of professionals with various styles and skills provide the best vehicle for OD intervention in schools. There seems to be no better way of assuring the tailoring of an OD effort than through the stimulation and intellectual give-and-take of devoted colleagues.

Annotated Bibliography

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Wyant, Spencer H. "The Effects of Organization Development Training on Communications in Elementary School." Doctoral Dissertation, University of Oregon. 1974.

Reports evidence that less than 25 hours of OD training can be detrimental to the communicative adequacy of a client school. Shows importance of considering a followup macrodesign at the outset of an OD intervention.

Procedure 2: Report of Organizational Data Analysis

Part I

60 min.

Prepare a report of your analysis for your LG. The report should not exceed 50 minutes. Review Resources 3-6 as preparation for your analysis report. As a TU, prepare a report and plan to participate in three rounds of consulting in your LG.

The rationale for this activity is:

1. To give you the opportunity to test the analysis of your data with others in the LG.
2. To give other members of the LG the opportunity to get acquainted with your organization. To make it possible for others in the LG to begin now and to continue during the life of the LG to provide a mirror (feedback) of how they perceive your organization and your OD work.
3. To give you and others in your LG the opportunity to practice consulting skills (listening carefully, paraphrasing, testing perceptions, clarifying ideas, identifying concerns, analyzing, diagnosing, etc.).

Your TU has three tasks to do in getting ready for consulting in the LG:

Task One Prepare to take the role of the client.

1. Prepare report for the LG.
   Plan to start your report with your inferences (page 5 of Procedure 1). Be prepared to support your inferences with your analysis and diagnosis (pages 2-4 of Procedure 1). Record your report on newsprint.
2. Identify the kind of help you want (e.g., reactions, information or suggestions).

Task Two Prepare to take the role of consultant for one of the rounds.

1. As a TU decide who is going to do what.
2. Identify specific behaviors and skills you think you will use or try out as consultant.
3. Decide what, if anything, you want the observer to watch out for during your consultant role.

Task Three Prepare to take the role of observer.

1. Review Procedure 3, Observer Evaluation, and get acquainted with the items listed.

2. Watch for things the consultant has requested you to observe.

Part II

4½ hours

Report to the LG and get its reactions.

Learning Group Work

A. Carry out three rounds of consultation (each TU, in turn, takes the roles of client, consultant and observer).

B. Observe the following time schedule for each round:

50 minutes for consultation

15 minutes for observer report

10 minutes for debriefing and trainer input

10 minutes for a break

Resource 4
Activity 2
First Meeting

Resource 4: Major Kinds of Problem Solving

Each time an intervention is needed, the consultant must consider whether it will take the form of involving the client in technical analysis and planning, action research or negotiation.

Is the client's concern mainly technical, theoretical or philosophical?

The intervention must represent the process which corresponds to the major criteria listed below.

Criteria in the Technical Domain	Criteria in the Theoretical Domain	Criteria in the Philosophical Domain
Has the client expressed a desire to achieve an objective? Has the client clearly identified the change needed? Is the change desired? Is the change feasible? Has the desired objective been stated in operational terms? Is the intention clearly to implement a feasible solution?	Has the client expressed an interest in discovering HOW and WHY things are happening? Has the client stated the need for data collection, diagnosis and the trial of alternative solutions to evaluate results? Is the client interested in finding out whether achieving certain objectives will have the effects and side effects that are expected and desired?	Is there evidence of disagreement over issues? Is there disagreement about the value of a proposed action? Are there several conflicting ideas for action? Once achieved, are the objectives and their effects what is really desired? Are there large amounts of energy spent fighting over issues?
IF THE ANSWER IS YES TO ALL THE ABOVE QUESTIONS, THE KIND OF PROBLEM SOLVING CALLED FOR IS:	IF THE ANSWER IS YES TO ALL THE ABOVE QUESTIONS, THE KIND OF PROBLEM SOLVING CALLED FOR IS:	IF THE ANSWER IS YES TO ALL THE ABOVE QUESTIONS, THE KIND OF PROBLEM SOLVING CALLED FOR IS:
System Technology	Action Research*	Conflict and Negotiation

**Research Utilizing Problem Solving (RUPS).*

Figure 1. Major Criteria for Three Kinds of Problem Solving

Resource 5
Activity 2
First Meeting

Resource 5: Differential Intervention Matrix

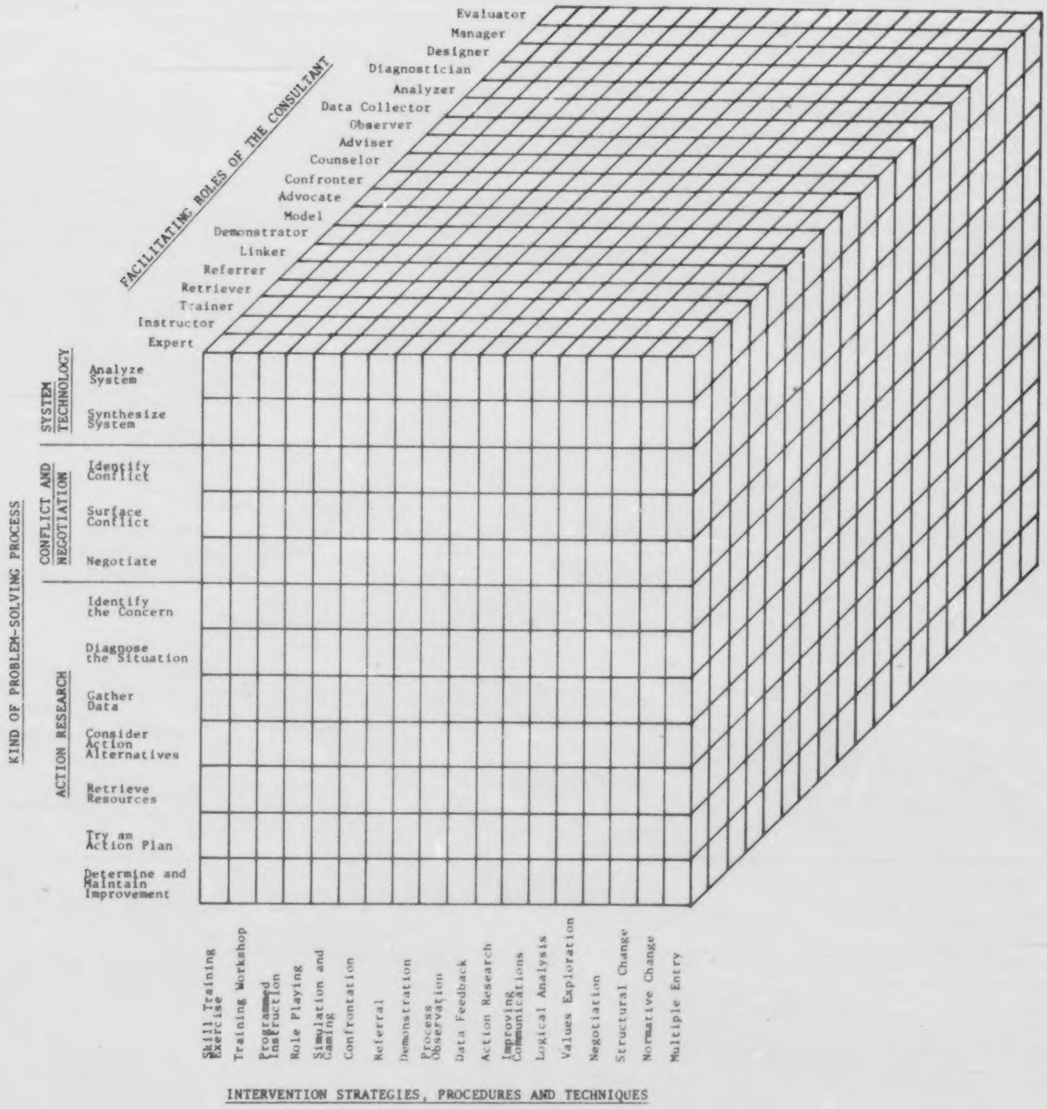

FACILITATING ROLES OF THE CONSULTANT
Evaluator
Manager
Designer
Diagnostician
Analyzer
Data Collector
Observer
Adviser
Counselor
Confronter
Advocate
Model
Demonstrator
Linker
Referrer
Retriever
Trainer
Instructor
Expert
KIND OF PROBLEM-SOLVING PROCESS
SYSTEM TECHNOLOGY
Analyze System
Synthesize System
CONFLICT AND NEGOTIATION
Identify Conflict
Surface Conflict
Negotiate
ACTION RESEARCH
Identify the Concern
Diagnose the Situation
Gather Data
Consider Action Alternatives
Retrieve Resources
Try an Action Plan
Determine and Maintain Improvement
Skill Training Exercise
Training Workshop
Programmed Instruction
Role Playing
Simulation and Gaming
Confrontation
Referral
Demonstration
Process Observation
Data Feedback
Action Research
Improving Communications
Logical Analysis
Values Exploration
Negotiation
Structural Change
Normative Change
Multiple Entry
INTERVENTION STRATEGIES, PROCEDURES AND TECHNIQUES

Figure 2. Differential Intervention Matrix (I)

Resource 6. Differential Diagnostic Matrix

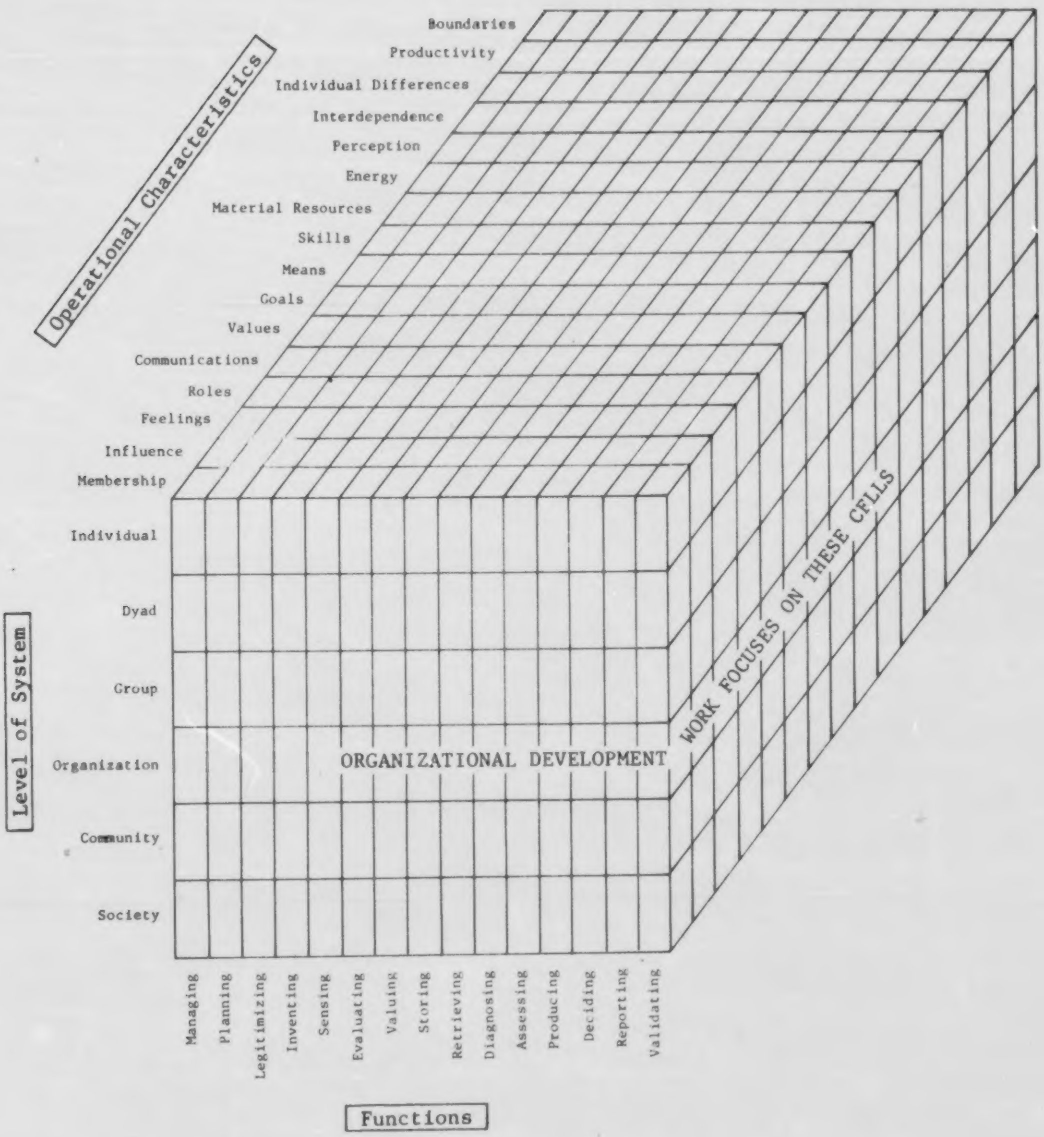

Operational Characteristics
Boundaries
Productivity
Individual Differences
Interdependence
Perception
Energy
Material Resources
Skills
Means
Goals
Values
Communications
Roles
Feelings
Influence
Membership
Level of System
Individual
Dyad
Group
Organization
Community
Society
ORGANIZATIONAL DEVELOPMENT
WORK FOCUSES ON THESE CELLS
Managing
Planning
Legitimizing
Inventing
Sensing
Evaluating
Valuing
Storing
Retrieving
Diagnosing
Assessing
Producing
Deciding
Reporting
Validating
Functions

Figure 3. Differential Diagnostic Matrix (I)

Procedure 3: Observer Evaluation

Instructions to the Observer

Make as many notes as you can during the consultation. Key words will be fine. Remember to pay attention to the list the consultant has given you.

Client	Consultant
1. What evidence did the client display that she/he was well prepared?	1. In what ways did the consultant give evidence of working to get an understanding of issues in the client organization?
2. What did the client system do to work as a unit (in the case of more than one person in the TU)? How well?	2. In what ways did the consultant help clarify the questions and issues of the other client?
3. What did the client do to make a clear organizational picture available to the consultant?	3. Did the consultant take initiative in helping the client identify and clarify problems?
4. How did the client communicate the kinds of help he/she wished to receive from the consultant? How well?	4. Did the consultant take initiative in keeping the consultation focused on relevant issues?
5. What evaluation would you make about the client's use of the phases of planned change, differential diagnostic matrix and differential intervention matrix in preparing a report of the data? Be ready to fill in any gaps you identify.	5. How well did the consultant use the phases of planned change, differential diagnostic matrix and differential intervention matrix in responding to the client's presentation?
6. Watch for inconsistencies and unclarity.	6. Identify the modes of response (giving advice, asking questions, suggesting alternatives, asking for clarification, etc.).

Procedure 4: Application of Concepts in Chapter II to Own Organization

Purposes of This Procedure

To give you an opportunity to reflect on certain concepts in Chapter II of the CI and to apply these concepts to the data available about your organization.

To use the concepts in explaining the characteristics of the organization or a subsystem and interpreting the concepts in the light of available data.

To give you an opportunity to report your thinking to the LG and to get its reactions.

Overview of This Procedure

1. This procedure will take about 5 hours to complete.

2. The two major questions to be answered are:

   a. What clues about how things are in your organization do you get from reading the assigned pages in the CI?

   b. What new questions about your organization do you think you need to answer?

3. The procedure has two parts:

2 hours	Part I	Individual and TU work--discussing the health and maturity of your organization
3 hours	Part II	LG work--reporting and discussing

4. Guidelines for the work are on pages 2 and 3 of this procedure.

5. Use Resources 7, 8 and 9 in whatever ways you find useful.

6. Be sure to read only pages 47-54; 69-79 and 109-113.

7. Notice of Resource 11. This is a set of OD/IQ questions and answers that will be asked during the "Organizational Development/ Intelligence Quotient Game" in Activity 3.

Part I: Individual and Training Unit Work

2 hours

Utilize the concepts from the CI to describe your organization.

Individually
30 minutes

A. Read only pages 47-54; 69-79 and 109-113. Read quickly. There will be many opportunities to read this material later. Keep Resource 11 handy.

Training Unit
90 minutes

B. Given your present knowledge of your organization, which is based on:

Your experience in the organization, i.e., your impressions, observations, first-hand experience, etc.

The data you collected in the preworkshop assignment

Your analysis of that data and the critique of your analysis

Prepare a report for your LG using Resources 7, 8 and 9 as well as the information called for in Resource 10. Give a general, rather than a detailed, report. Report should not exceed 45 minutes.

NOTE: It is obvious that for some of the categories you may only have an impression or an opinion. For others you may be able to write a judgment based on data you have collected recently or that you have known about for some time. For some you may have no basis at all for making a statement.

Part II: Learning Group Work

3 hours

A. In your discussion, follow the ground rules listed below.

1. The TU presenting the report has the responsibility of:

   Managing the discussion

   Clarifying and elaborating when requested to do so

   Taking initiative in testing understanding of certain CI concepts

2. The persons receiving the report have the responsibility for:

   Staying close to the content of Chapter II

   Challenging interpretations

   Asking questions for clarification

   Sharing own perceptions and understanding of Chapter II and whether these do or do not apply to the organizational data being discussed

   Providing alternative ways to interpret the data, using the concepts in Chapter II

B. Share your statements about your organization for each of the categories in Chapter II of the CI (see Resource 10).

C. Discuss the statements.

Key questions to remember during the discussion are:

What clues about how things are in the organization is the TU deriving from Chapter II?

What new questions about the organization need to be raised in the light of Chapter II?

Is the TU paying attention to the concepts listed below?

System

Human system

Organization as a human system

Organizational boundaries

Organizational health

Growth

Evolution

Maturity

Each TU has approximately 45 minutes for reporting.

Resource 7: Growth and Maturity Possibilities for a Human System (I)

STAGES OF GROWTH

(In terms of inclusiveness and sophistication of functional capability)

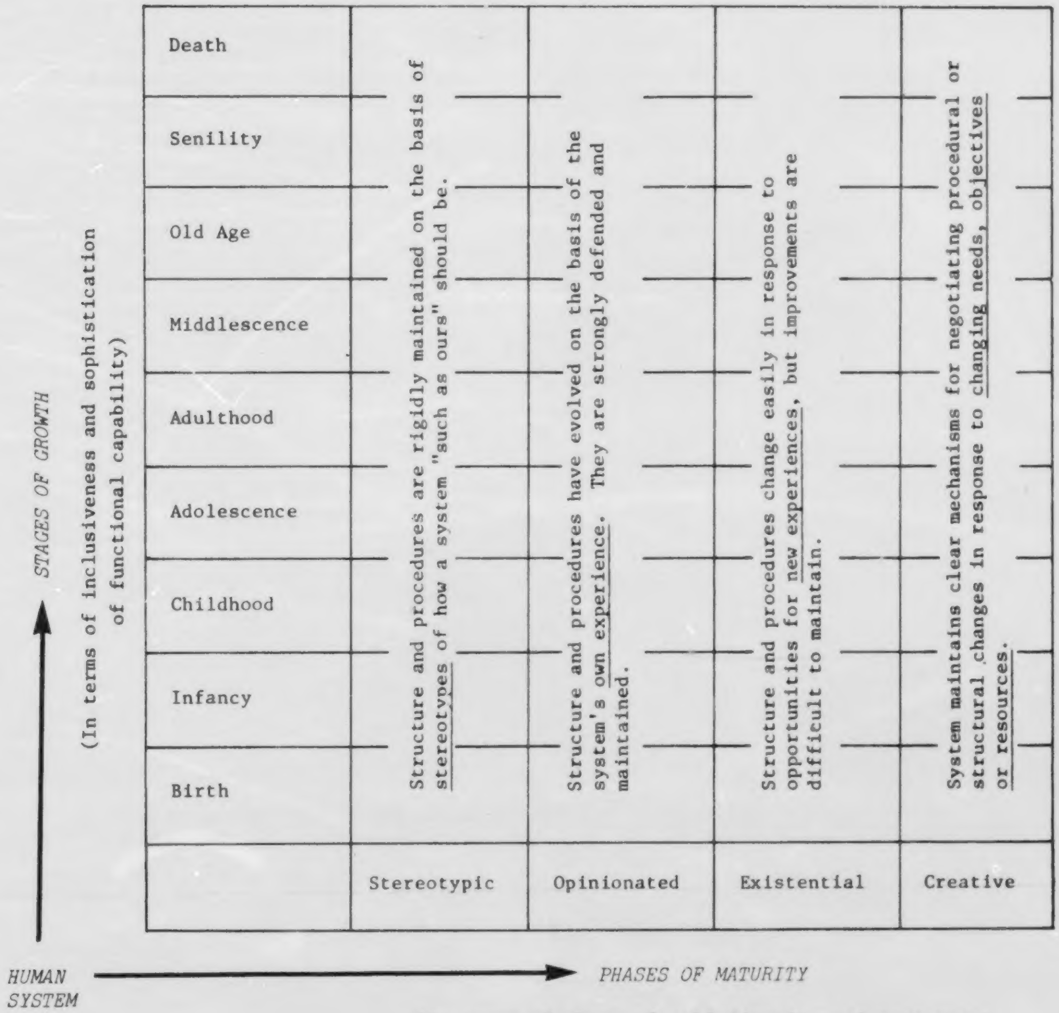
Death	Is unable to obtain resources needed to function			
Senility	Retains nonfunctional procedures and structure			
Old Age	Rejects needed functional change and improvements			
Middlescence	Has difficulty in achieving functional change in response to changing needs			
Adulthood	Operates all functions in a coordinated manner and always seeks improvement			
Adolescence	Possesses all functions but does not balance or coordinate them			
Childhood	Operates as a whole although still lacks some functions			
Infancy	Obtains resources to provide growth-supporting functions			
Birth	Makes commitment to provide a new system			
	Stereotypic	Opinionated	Existential	Creative

HUMAN SYSTEM → *PHASES OF MATURITY*

(In terms of phase of self-identity and consequent orientation toward experiencing the world)

Figure 4. Growth and Maturity Possibilities for a Human System: Description of Growth Stages (I)

Resource 8: Growth and Maturity Possibilities for a Human System (II)



STAGES OF GROWTH

(In terms of inclusiveness and sophistication of functional capability)

Death	Structure and procedures are rigidly maintained on the basis of stereotypes of how a system "such as ours" should be.	Structure and procedures have evolved on the basis of the system's own experience. They are strongly defended and maintained.	Structure and procedures change easily in response to opportunities for new experiences, but improvements are difficult to maintain.	System maintains clear mechanisms for negotiating procedural or structural changes in response to changing needs, objectives or resources.
Senility				
Old Age				
Middlescence				
Adulthood				
Adolescence				
Childhood				
Infancy				
Birth				
	Stereotypic	Opinionated	Existential	Creative

HUMAN SYSTEM

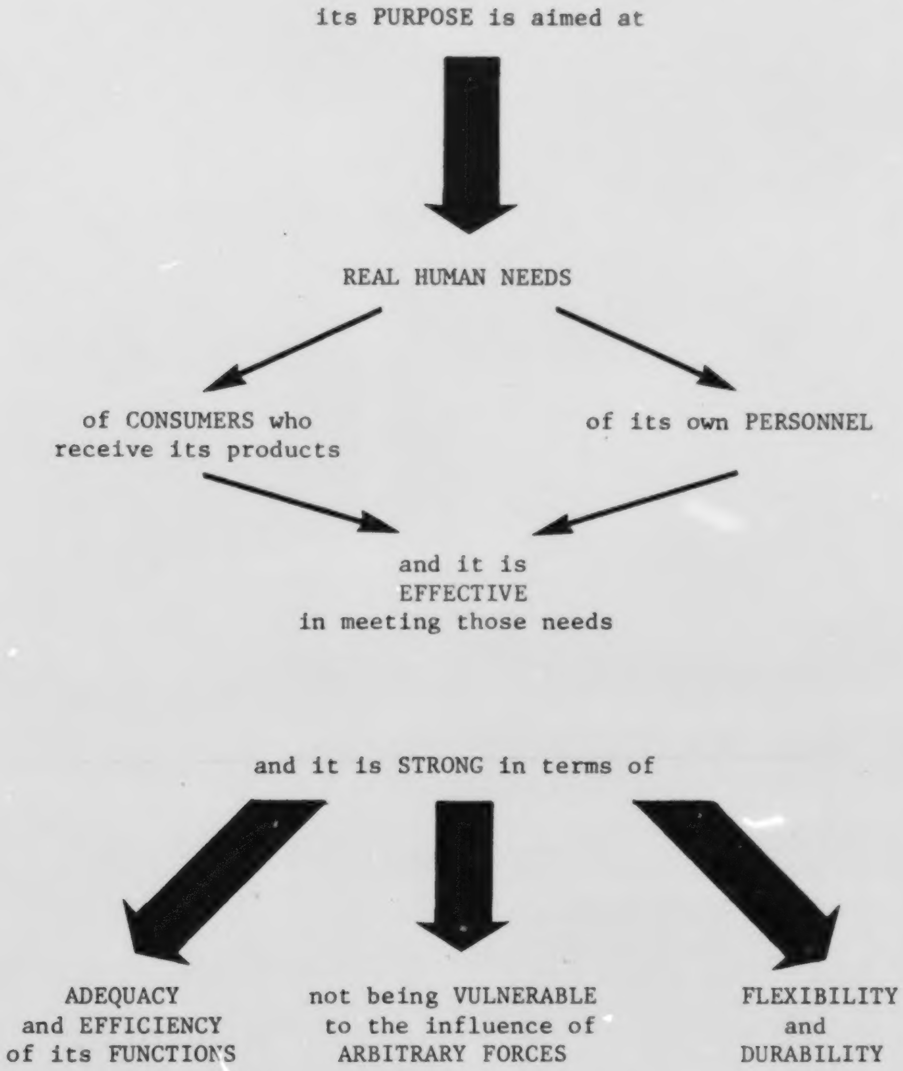
PHASES OF MATURITY

(In terms of phase of self-identity and consequent orientation toward experiencing the world)

Figure 5. Growth and Maturity Possibilities for a Human System: Description of Maturity Phases (I)

Resource 9: Summary of the Organizational Health Concept

AN ORGANIZATION IS HEALTHY WHEN:



its PURPOSE is aimed at

REAL HUMAN NEEDS

of CONSUMERS who receive its products

of its own PERSONNEL

and it is EFFECTIVE in meeting those needs

and it is STRONG in terms of

ADEQUACY and EFFICIENCY of its FUNCTIONS

not being VULNERABLE to the influence of ARBITRARY FORCES

FLEXIBILITY and DURABILITY

Figure 6. Summary of the Organizational Health Concept

Resource 10: How Things Are in Own Organization

Write lists of clues and questions which occur to you in your study of Chapter II.

Section of Chapter II	How you assess your organization in light of this concept (with clues to how things are)	New questions needing answers
Understanding the Organization as a System		
Definitions and Concepts of Systems		
Human Systems		

Section of Chapter II	How you assess your organization in light of this concept (with clues to how things are)	New questions needing answers
Growth, Evolution and Maturation of Human Systems		
Characteristics of Key Functions		
The Concept of Organizational Health		

Section of Chapter II	How you assess your organization in light of this concept (with clues to how things are)	New questions needing answers
Public Education as a System in the United States		
The Organization as a Human System		
Understanding Any Particular Educational Organization		

Section of Chapter II	How you assess your organization in light of this concept (with clues to how things are)	New questions needing answers
Substantive *versus* Dynamic Issues		
Five Alternative Emphases in Working with Organizations		
Organizational Boundaries of a School System		

Resource 11: Organizational Development/Intelligence Quotient Questions

Chapter II

1. A system is a number of parts that function individually and in relation to each other to realize a purpose. What defines the parts to be included in a particular system?

    THE INTERDEPENDENCE OF FUNCTIONING NEEDED TO REALIZE THE PURPOSE

2. What is the concept that describes the stages through which a system goes from the time it is formed until it dies or is ended?

    THE CONCEPT OF GROWTH

3. Four of the stages of growth are infancy, adolescence, adulthood and old age. What are the other stages of growth?

    BIRTH, CHILDHOOD, MIDDLESCENCE, SENILITY AND DEATH

4. What is the concept that describes a system's way of understanding its "self" and of experiencing the world around it?

    CONCEPT OF EVOLUTION

5. What are the phases of maturity?

    STEREOTYPIC, OPINIONATED, EXISTENTIAL AND CREATIVE

6. To what concept does this statement refer: "A person can grow to adulthood and old age without maturing past a stereotypic phase of experiencing."?

    CONCEPT OF MATURATION

7. What are the two factors that determine the health of an organization?

    a. ORGANIZATIONAL PURPOSE AND EFFECTIVENESS IN RELATION TO HUMAN NEEDS

    b. ORGANIZATIONAL STRENGTH

8. What are the two requirements that the purpose of an organization must fulfill in order for the organization to be considered healthy?

    a. SUPPORTS THE NEEDS OF HUMANS

    b. PROVIDES AN ENVIRONMENT THAT IS HEALTHY FOR HUMAN BEINGS TO WORK IN

9. What are the three dimensions that define the strength of an organization?

   a. ADEQUACY AND EFFICIENCY OF ITS FUNCTIONS

   b. NOT BEING VULNERABLE TO THE INFLUENCE OF ARBITRARY FORCES

   C. FLEXIBILITY AND DURABILITY

10. What phase of maturity is described by this phrase: "A school district that does things simply because everybody knows that's the way to operate public schools"?

    STEREOTYPIC PHASE

11. What phase of maturity is described by this phrase: "A school district that is open to doing things in its own unique ways, based on its own experiences"?

    OPINIONATED PHASE

12. What phase of maturity is described by this phrase: "Being open to any experience as a valid source for learning"?

    EXISTENTIAL PHASE

13. What phase of maturity is described by this phrase: "A school district that operates by continuously altering its procedures as they affect outcomes"?

    CREATIVE PHASE

14. What behavior of the human system controls whether something is allowed to become a part of the organization's internal decision making?

    BOUNDARIES

15. What is being described in the quotation below?

    > In the typical elementary classroom research indicates that most students would privately like to be more actively cooperative with the teacher while believing at the same time the majority of the other students desire a lower level of cooperation with the teacher.

    NORMS

16. For what do OD consultants primarily hold themselves responsible?

    FACILITATING CHANGES IN THE ORGANIZATION

17. One indication that consultants are doing OD work is that they are dealing with building normative and structural change into the organization. What is another indication?

    MAINTAINING IMPROVED WAYS OF FUNCTIONING

18. Studies show it is extremely difficult to bring about lasting functional improvements in public education. There are at least seven reasons for this. Two reasons are: (a) most schools are at stereotypic or opinionated phases of maturity and (b) schools are among the most complex organizations in our social system. What are two other reasons?

    a. MANY SCHOOL DISTRICTS APPEAR TO BE IN THE CHILDISH OR ADOLESCENT STAGE OF GROWTH IN REFERENCE TO THEIR RANGE OF FUNCTIONAL CAPABILITIES

    b. CURRENT SOCIAL CHANGES DEMAND THAT SCHOOLS RESPOND WITH IMPROVEMENTS IN A MANNER FEW ORGANIZATIONS HAVE SHOWN THEMSELVES ABLE TO MASTER

    c. SOCIETY HAS NOT RECOGNIZED THE TRANSITIONAL NEEDS OF EDUCATION

    d. CITIZENS ARE TENDING TO WITHDRAW SUPPORT AT A TIME WHEN RESOURCES MUST BE INCREASED

    e. THERE IS A LACK OF TRAINING RESOURCES TO USE IN HELPING SCHOOLS BRING ABOUT CHANGES

19. What kind of change takes place when a high level of pressure is brought to bear on the school district from outside forces?

    REACTIVE CHANGE

20. What kind of change is caused by forces the school district is dependent upon or interdependent with?

    INTERACTIVE CHANGE

21. What kind of change occurs when forces within the school district initiate decision-making procedures to bring about change?

    PROACTIVE CHANGE

22. In what phase of maturity is an organization that pushes the consultant toward playing an expert role?

    STEREOTYPIC PHASE

23. In what phase of maturity is an organization which feels responsible only for internally generated change?

    OPINIONATED PHASE

24. What phase of maturity is described by this statement: "Entry generally must be negotiated and therefore takes more time and is more likely to be meaningful."?

    CREATIVE PHASE

25. In what phase of maturity is an organization which places responsibility for change on its subsystems and thus avoids overall responsibility for change?

    EXISTENTIAL PHASE

26. Stereotypic organizations tend to push their consultants toward playing the expert role. What key issue in the facilitator role does this precipitate?

    DEPENDENCE

27. Opinionated organizations tend to reject any change generated outside their boundaries. What key issue in the facilitator role does this precipitate?

    COUNTERDEPENDENCE

28. Organizations in the existential phase of maturity are apt to ignore consultants as resources. What key issue for the facilitator role does this precipitate?

    INDEPENDENCE

29. Organizations in a creative phase of maturity are likely to seek the facilitator role in their consultants. What kind of consultant orientation is this called?

    INTERDEPENDENT

30. What organizational condition is generally a prerequisite for increased maturity?

    INCREASED HEALTH

31. Maintenance of an improvement usually requires the organization to accept responsibility for having brought about the change. The organization therefore needs to know what the consultants are going to do, why they are going to do these things and when they are going to stop doing them. What is this strategy called?

    STRATEGY OF OPENNESS

32. One reason for refusing to do OD work with a particular organization is that the organization is operating in a way which harms those individuals within it. What is another reason?

    a. THE ORGANIZATION IS PRODUCING A PRODUCT THAT HARMS ITS CONSUMERS

    b. THE CONSULTANTS ARE CONCERNED ABOUT POSSIBLY CAUSING DAMAGE BECAUSE OF VALUE CONFLICT

33. In a multiple-entry strategy, the consultants identify the various subparts within the system and groups outside the system that will be affected by the desire for functional improvement. There are three key concepts to keep in mind in implementing a multiple-entry strategy. One is to link roles between subgroups. What is another key concept?

    a. TRAINING IN THE SAME PROCESS FOR A VARIETY OF ROLES

    b. CHANGING SEVERAL FUNCTIONS SIMULTANEOUSLY IN WAYS THAT MUTUALLY REINFORCE EACH OTHER

34. Issues regarding the informal structure of the organization go beyond the issues of its formal structure. The informal structure reveals who relates to whom, about what and with what effects. An example of an informal structural issue is: a few individual teachers have great influence on the superintendent or the school board. What is another example?

    FRIENDSHIP AND INFLUENCE GROUPINGS AMONG TEACHERS ARE A MAJOR DETERMINANT OF TEACHER INNOVATIVENESS

35. Norms are shared expectations people have about what should be done, how it should be done and who will do it. Norms frequently need to be changed to support effective use of new structures, skills and resources. There are five suggested ways to change norms. One is to involve people in changing their behavior. What are two other ways to change norms?

    a. TO MAKE INDIVIDUAL CONTACTS WITH INFLUENTIAL PERSONS

    b. TO CHANGE ATTITUDES

    c. TO BRING ABOUT MODELING BY LEADERS

    d. TO DIAGNOSE AND EXPLICITLY WORK AT NEW NORMS

Activity 3: Part II of Analyzing Organizational Data

Purpose: To gain knowledge of PETC-III OD concepts.
To increase awareness of entry issues in OD.

Objectives: Given Chapter III of the CI, Chapter 7 of *Organization Development in Schools*,[1] organizational data collected and analyzed by the TU and a set of instructions for individual and small group work, trainees will apply basic concepts to their data and will prepare a report to the LG.

Given a set of questions prepared by each LG, trainees will clarify and elaborate concepts as needed.

Given instructions for a game to elicit answers to prespecified questions on OD work, trainees will play the game and participate in a discussion to clarify meanings of OD concepts.

Time	Agenda	Materials
10 min.	1. Introduce activity	A3, Part II of Analyzing Organizational Data
2 hours	2. Study OD concepts	P5, Application of Organizational Development Concepts to Issues of Entering an Organization (Parts I and II) Chapter III of the CI Chapter 7 of *Organization Development in Schools* R2, Critical Issues in the Phases of Consultation R11, Organizational Development/Intelligence Quotient Questions

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[1] Lake, Dale G. and Daniel M. Callahan. "Entering and Intervening in Schools" in *Organization Development in Schools* by Richard A. Schmuck and Matthew B. Miles, eds. Palo Alto, California: Mayfield Press. 1971, pp. 139-153.

Agenda, Page 2
Activity 3
First Meeting

Time	Agenda	Materials
2 hours	3. Analyze entry into organization	P5 (Part II) R3, Tailoring Organizational Development Interventions for Schools Chapter III of the CI Chapter 7 of *Organization Development in Schools*
2 hours	4. Make reports	P5 (Part III)
60 min.	5. Play the "Organizational Development/Intelligence Quotient Questions Game"	P6, Organizational Development/Intelligence Quotient Questions Game R11

Procedure 5: Application of Organizational Development Concepts to Issues of Entering an Organization

Overview of the Procedure

A. This procedure will take approximately 6 hours to complete.

B. The procedure has three parts:

2 hours	Part I	Individual work--listing and studying entry issues
2 hours	Part II	TU work--analyzing maturity of organization
2 hours	Part III	LG work--reporting and discussing

C. The major questions listed below should be answered in light of where you are in your work now, that is, in light of making entry and establishing a relationship.

1. How are the key issues in defining and determining your overall role as facilitator manifesting themselves now?
2. What may be the effects of your own values and biases as you make entry and establish a relationship?
3. What consideration are you now giving to organizational maturity?
4. What are other critical issues you must pay attention to as you proceed with making entry and establishing a relationship?

D. In this procedure you will be expected to accomplish the tasks listed below.

1. Recognize and identify PETC-III OD concepts found in Chapter III of the CI, pages 117-137; 152-166.
2. Link concepts in Chapter III to your own work of making entry and establishing a relationship with your direct client[1]
3. Using concepts in Chapter III, describe and explain your experience thus far with your organization

---

[1] Your "direct" client is the organization for which you work and for which you will be acting as an OD consultant.

4. Infer meanings and implications for yourself as an educational OD specialist

E. Guidelines for the work of each part of the procedure are found in the pages that follow.

Part I: Individual Work 2 hours

A. Read Chapter III of the CI.

1. Pay attention to the questions in Resource 11. These will be part of Procedure 6.

2. Underline key concepts and identify their meanings for you.

B. Read Chapter 7 of *Organization Development in Schools*.

1. List some entry issues you are experiencing.

2. Make a tentative identification of transformation subsystems you may be trying to enter.

C. Review Resource 2 and make use of the appropriate concepts.

Part II: Training Unit Work 2 hours

A. Analyze your own entry with your direct client, using all the information you now have (e.g., your Chapter IV and Chapter II analysis from your preworkshop assignment).

1. Where would you place your organization on the matrix for each variable in Figure 36 on page 16 of Resource 21? Draw a chart and place your organization on it.

2. Identify the variables that are affecting your entry and the establishment of a relationship with your direct client.

3. What evidence do you have thus far for your diagnosis? (Give examples of client behaviors.)

4. Identify additional entry issues you may need to attend to.

B. Prepare to report your analysis to the LG and to get its reactions.

1. Decide what to do, how to do it and how to involve the others in your LG. Report should not exceed 30 minutes.

2. You may want to use newsprint.

3. Be prepared to manage your time.

Part III: Learning Group Work

2 hours

A. Each TU will present its report and get reactions (30 minutes per TU is the maximum).

B. Conduct the discussion to get maximum benefit from your TU.

Procedure 6: Organizational Development/Intelligence Quotient Questions Game

Objective

To determine which group of contestants can answer more OD questions correctly and therefore achieve a higher score.

Rules

The game will be played by two groups, with five to nine persons in each group. Each group will select a spokesperson.

A master of ceremonies (emcee) will select OD/IQ questions at random from a basic list and then direct one question to both contestant groups. After the emcee asks the question, each group will take time to caucus and determine the correct answer. The first group to sound a bell gets to answer the question. If no one rings the bell within 15 seconds, the question will be considered a miss for both groups. The emcee will then read the answer.

If a group rings the bell first but answers incorrectly, the other group will get a chance to answer.

If the second group answers the question correctly, they will be given an opportunity to answer another question before the competition proceeds.

The response must include all the elements on the answer sheet but need not contain the exact words.

If a team rings the bell before the question is completely read, the emcee will stop and give the group a chance to answer it.

If the answer is incorrect, the emcee will then read the whole question to the other group and give them an opportunity to respond.

For every correct answer, a group gets 5 points.

There will be a prize at the end of the game for the winner.

The game will last 20 minutes.

Activity 4: Planning Organizational Development Work (I)

Purpose:	To clarify expectations and set goals for the period of time between the first and second meetings. To begin the planning process for conducting an OD project.
Objectives:	Given instructions for a discussion to evaluate the training thus far, trainees will identify and report their reactions. Given the materials listed below, trainees will produce plans for their OD work between the first and second meetings and will report their plans to the LG for reactions and a critique. Trainees will apply all criteria presented in the meeting and utilize all data collected thus far.

Time	Agenda	Materials
10 min.	1. Introduce activity	A4, Planning Organizational Development Work (I)
30 min.	2. Check perceptions and feelings	
30 min.	3. Review guidelines for planning OD work	P7, Guidelines for Planning Organizational Development Work (I) P8, Intervention Theory (I) R12, PETC-III Training Requirements and Terminology R13, Diagnostic Resources R14, Checklist for Planning Organizational Development Work
4 hours	4. Plan OD work	P7 P8
3 hours	5. Report plans	P7

Procedure 7: Guidelines for Planning Organizational Development Work (I)

Part I

30 minutes

Read the materials listed below and discuss them in your TU.

PETC-III Training Requirements and Terminology (Resource 12)

Diagnostic Resources (Resource 13)

Checklist for Planning Organizational Development Work (Resource 14)

Part II

4 hours

Plan your OD work.

A. Study and review as needed the materials listed below.

1. Data collected and analyzed

2. The CI

3. The differential intervention matrix and the differential diagnostic matrix

B. Produce plans and prepare to share with the LG.

1. Complete Procedure 8, Intervention Theory (I). Your statement of goals, assumptions and strategies should clearly reflect the knowledge and insights you have acquired and derived from the CI and should be based on information you have about your organization.

2. Prepare to share with the LG any other information in your plan that may help members of your LG get acquainted with your organization and get an idea of your intentions and your action steps. Report should not exceed 60 minutes.

Part III

3 hours

Present your report to the LG.

A. Announce to the LG members how you wish they would deal with your report. Some possibilities are listed below.

For information and clarification

For reactions and ideas

For answers to specific questions

For retrieval of information from persons in the LG with specific resources

For a critique based on specific criteria

B. Present basic information. Use as your sources Procedure 8; any information produced as a result of your application of the phases of planned change, differential intervention matrix and differential diagnostic matrix; and any other information showing action steps, flow charts, etc.

C. Manage the complete presentation of your plan.
The time limit for each TU is 60 minutes.

Resource 12: PETC-III Training Requirements and Terminology

A. Trainee Requirements

1. Attend all training meetings. There will be 5 meetings over a 6- to 8-month period. The meetings will be separated by approximately 30-35 days.
2. Conduct an OD project. The project activities are to be carried out during the period between meetings and should take a minimum of 10 days over the entire period of the training.
3. Keep a log of all OD activities. The log should be kept up to date as a source of information for each training meeting.
4. Collect all data as requested.
5. Prepare project reports as needed and/or a final report.
6. By the end of the training, submit an assessment of your own consulting competence and a plan for continued professional growth.

B. Terminology

What Is an Organizational Development Project?

Here are some statements that are intended to clarify what a PETC-III OD project is. The statements should also function as guidelines for your OD plans and actions. The statements below apply to PETC-III and may not have relevance for other organizational work done by PETC-III participants.

> "Project" is defined as a series of intervention strategies that adheres to the guidelines provided in the phases of planned change and is based on the theoretical framework of a differential diagnostic matrix and a differential intervention matrix.
>
> A PETC-III OD project begins with the signing of agreements by the consultant, the person in the organization who is authorizing the consultant and the training agency. Part of the agreement includes a tentative identification of a need for change that may be broadly or very concretely stated.
>
> The project is undertaken with the conviction that the PETC-III objective of improving the functional capability of the organization is relevant and appropriate to the organization and that the OD work initiated by the consultant is clearly aimed at achieving this objective.

A PETC-III OD project consists of all the activities carried out by the consultant-in-training during the period of PETC-III training. These activities may be few or many, but they are congruent with an intervention plan developed by the OD consultant and based on a self-generated theory that is continuously checked and tested for its internal consistency and relevance. It does not refer to one activity (e.g., a workshop, laboratory, confrontation meeting or needs assessment). The scope of these activities is determined by the time constraints of the training (approximately 17 days of training, with a minimum of 10 days of project work).

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Monitoring

Monitoring is the term used to describe the trainers' sustained contact with the trainees between training meetings. The deatils of how this role will be taken by the trainers will be worked out with each TU at each training meeting. The purposes of monitoring are:

To provide guidance, support and resource to trainees during PETC-III training

To maintain two-way communication between trainers and trainees

To fulfill requirements and expectations of mutual accountability established by all parties in the training agreements

To provide an opportunity for trainees to seek resources, help, support and guidance in planning and carrying out their OD work

Between training meetings, the trainers will take the initiative in their monitoring role in some or all of the following ways:

By mailing memos requesting information for the next meeting

By making appointments for telephone calls

By making appointments for visits

In addition, it is expected that trainees will also show initiative in communicating with the trainers between meetings whenever the trainers' resources are needed.

Data Collection

Making decisions and intervention plans based on information collected is central to the work of PETC-III. A large part of the diagnostic and analytic activity of the trainees requires that data be secured from the client. The work of consultants is largely based on the *Research Utilizing Problem Solving (RUPS)* model. Brief descriptions of the two basic kinds of data collection in PETC-III are given below.

> From clients by consultants. This is information needed by the consultants to guide the work of planning and implementing an OD project.
>
> From consultants by trainers. This is information secured by the trainers that is used to influence training and monitoring functions.

Resource 13: Diagnostic Resources

A. Use of Needs Assessment in Organizational Development Work

If we were to define "need" as the discrepancy between what is and what should be, we would have a potential starting referent for an assessment of organizational needs. The OD consultants should not start an organizational change effort with just any perception of needs. Every effort must be made to be sure that objective data are gathered that will identify real world needs.

The initial OD work of developing change needs requires assessment of needs, followed by establishment of the change goals and performance objectives that the OD consultants wish to achieve in response to these needs.

The stimulus for a need assessment is anything that indicates there is a problem with the functional capacity of an organization. Stimuli can arise from situations such as lack of performance, difficulty in integrating new procedures, mismanagement and failure to make adequate provisions for human needs. Stimuli may arise from either internal or external sources. Stimuli can also indicate NEED STATES.

A NEED STATE represents both the lack of something and a condition requiring relief. The condition of lacking something indicates that a difference exists between WHAT IS and WHAT SHOULD BE. In this context, therefore, a NEED can be defined as the DISCREPANCY between what is and what should be in the functional capacity of the organization.

To determine needs or discrepancies, steps must be taken to (1) define what is, (2) define what should be, (3) analyze the discrepancies between what is and what should be and (4) define the NEEDS. Having completed these steps, OD consultants can then (5) state their change requirements, i.e., "those things required to resolve the differences between what is and what should be." When this process has occurred, they have defined the problems that need to be solved--they have stated the NEEDS or DISCREPANCIES (See Figure 7).

When the OD consultants have completed the six steps of the NEEDS ASSESSMENT, the change needs of the organization will be in clear focus. They are then ready to determine change objectives and to design change efforts. The likelihood of their interventions being on target are increased.

Data for the NEEDS ASSESSMENT can be derived from diagnostic work done by the OD consultants when producing their system model in their assessment of the health and phase of maturity of the organization. Thus, the NEEDS ASSESSMENT itself is a major diagnostic step in the phases of work of OD consultants.

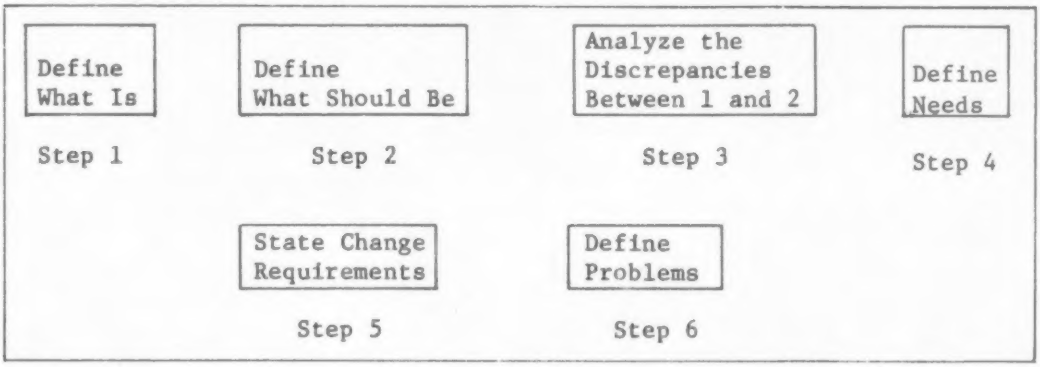
Define What Is
Step 1
Define What Should Be
Step 2
Analyze the Discrepancies Between 1 and 2
Step 3
Define Needs
Step 4
State Change Requirements
Step 5
Define Problems
Step 6

Figure 7. Definition of Needs

B. Considering Multiple-Entry Strategies

Analyze multiple meanings your relationship with one group may have on potential relationships with other groups.

List multiple relationships in the organization which influence your direct client.

Identify potential effects and side effects on other groups of your intervention with your direct client.

What linking roles between your direct client and other groups is called for?

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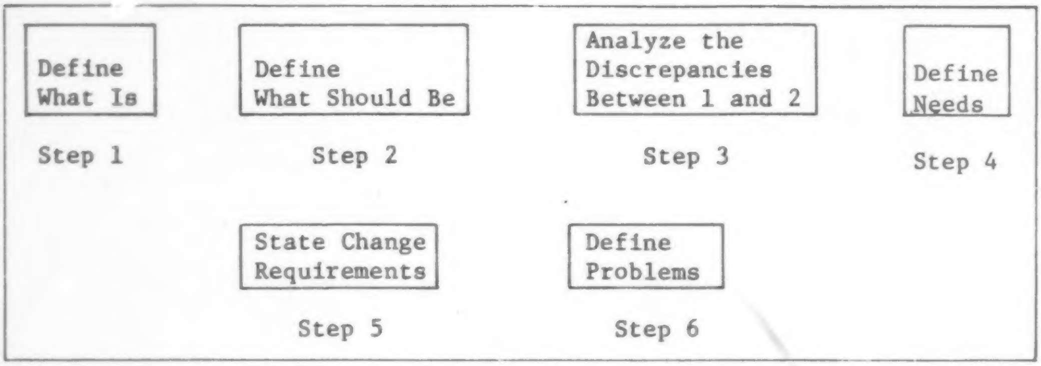
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What linking roles between your direct client and other groups is called for?

What strategies for involving other parts or subparts of the organization are indicated?

C. Toward Building a Relationship

Information You Have	Information You Need to Secure
What group are you going to work with directly?	
What are other groups to whom your direct client is related?	
What organizational boundaries should you pay particular attention to now?	
Who are the leaders (in the formal structure)?	
Who has the power? (Who are the key people [not necessarily status people] to whom others turn for new ideas?)	

Resource 13, Page 4
Activity 4
First Meeting

Information You Have	Information You Need to Secure
Who are the gatekeepers? (What people have key strategic positions with respect to the flow of new ideas and information?)	
With whom should you choose to work (in a subsystem)?	
Nine dimensions of an ideal relationship are listed below. Which ones should receive the most consideration as you begin to establish a relationship? ______ Reciprocity ______ Openness ______ Realistic expectations ______ Expectations of reward ______ Structure ______ Equal power ______ Minimum threat ______ Confrontation of differences ______ Involvement of all relevant parties	

The Ideal Relationship[1]

Rate your relationship with your client system by using the criteria of an ideal relationship.

Reciprocity

Low ______________________________ High

Little ______________________________ A great deal

Both parties should be able to give and take. There should be a transfer of information in both directions (two-way communication).

Openness

____

Low ______________________________ High

Both parties should be willing and ready to receive new input from each other.

Realistic Expectations

____

Unrealistic ______________________________ Realistic

The client should not believe the consultants are miracle workers. The consultants should not encourage such a belief.

Expectations of Rewards

____

Unrealistic ______________________________ Realistic

The consultants should not set expectations too low in order to give the client a reason for optimism. (Often the client needs tangible evidence that the consultants are helpful; a demonstration on a pilot project sometimes helps.)

Structure

____

Unclear ______________________________ Clear

Some structural basis should exist, such as definition of roles, working procedures and expected outcomes or a reciprocal open-ended contract.

---

[1] Adapted from Havelock, Ronald G. *The Change Agent's Guide to Innovation in Education.* Englewood Cliffs, New Jersey: Educational Technology Publications, 1973, pp. 55-53.

Equal Power

Unequal ________________________________ Equal

Under most circumstances neither the consultants nor the client should have the power to compel each other to do anything.

Minimum Threat

Perception of threat high ________________________________ Perception of threat low

The very idea of change is threat enough to most of us.

Confrontation of Differences

No chance ________________________________ Great chance

Involvement of All Relevant Parties

No possibility ________________________________ Great possibility

D. Diagnosis

Diagnosing Functional Capacity

NEED FOR CHANGE

YOUR PERCEPTION	CLIENT'S PERCEPTION

IDENTIFICATION OF NEED FOR CHANGE

Dissatisfactions, Discrepancies and Deficiencies

ORGANIZATIONAL HEALTH	FUNCTIONS FUNCTIONAL CAPABILITY Adequacy/Efficiency of Functions

FORCE FIELD DIAGNOSIS

- Drawing the force field
- Force field analysis
- Priorities for data collection

COLLECTION OF DIAGNOSTIC DATA ABOUT NEEDS

- Data needs
- Methods/means for collecting data
- Possible instruments

DIAGNOSIS OF THE KIND OF PROBLEM

- Major kinds of problem solving

CONSIDERATION OF CHANGE STRATEGIES

See Havelock's list
See intervention matrix

COLLECTION OF DIAGNOSTIC DATA

Determine data needs
Design instruments
Collect/analyze data
Revise force field

ANALYSIS OF FORCES FOR/AGAINST

Draw the force field
Do force field analysis
Determine data needs

FLOW CHART OF ACTION PLANS

Milestones
Sequence of actions
Macrophases of planned change
Microphases of planned change

Resource 13, Page 11
Activity 4
First Meeting

Diagnosing Client Issues

Key questions to ask about the presence of each dimension:

Is it in this group?
Is it in this group but not acknowledged?
Is it in another group of the organization?
Is it between two groups in the organization?
Is it in the organization's structure or its communication network?
Is it in the community?
Is it in the government?

Group Dimensions the Consultants Look for	Signs, Clues and Indicators	PETC-II Individual, Dyad and Group Levels	PETC-III Organizational Level
Membership	Issues of: distrust, adequacy, loyalty, freedom, respect and norms		
Influence	Sources of power Patterns of influence Styles of influencing and being influenced		
Feelings	Not free to express feelings Expectations about feelings Openness Levels of trust		
Roles	Clarity of role expectations Missing roles Role congruence Pattern of role relationships		
Communications	The need to know Screening information Two-way communication Gossip, grapevines Bottlenecks, gaps and blocks The influence of roles, norms and feelings		
Values	Value conflicts Goal/value congruence		
Goals	Goal unclarity Goal conflicts Relevance of goals		

Group Dimensions the Consultants Look for	Signs, Clues and Indicators	PETC-II Individual, Dyad and Group Levels	PETC-III Organizational level
Means	Unrealistic means Means/values incongruence		
Skills	Imbalance of skills Lack of skills Role/skills incongruence		
Material Resources	Inadequacy Inappropriateness Lack of resources		
Energy	Inequitable distribution Overwork Excessive conflicts Energy being sapped		
Perception	Pluralistic ignorance Misinterpretations Intentions/actions incongruence Role misperception		
Interdependence	Dependence versus counterdependence Competition Lack of coordination		
Individual Differences	Lack of recognition of divergence of resources and self-interests		
Productivity	Norms of conformity Quantity before quality Lack of clear goals Lack of procedures for effectiveness		
Boundaries	Inflexibility Rigid norms Vulnerability		

Diagnosing System Functions

Key questions to ask about each function:

- Is it in this group?
- Is it in this group but not acknowledged?
- Is it in another group of the organization?
- Is it between two groups in the organization?
- Is it in the organization's structure or its communication network?
- Is it in the community?
- Is it in the government?

Functions	Signs, Clues and Indicators	PETC-II Individual, Dyad and Group Levels	PETC-III Organizational Level
Managing	Supervision spotty or absent Things done haphazardly Things fall in a crack Counterdependent subparts Lack of agreement between policies/procedures Decisions made by default		
Planning	Unclear objectives and goals Plans imposed by central office Lack of long-range planning Lack of similar planning procedures for entire system Lack of agreement on planning procedures Imbalance between short- and long-range planning		
Legitimizing	Lack of clear and explicit policies Disagreement about who is to be held responsible Lack of acceptance of legislation Lack of specificity about where responsibility is located Unclarity about delegating responsibility		
Inventing	New ideas discouraged or not supported New ideas are not rewarded Innovations are not shared No procedures provided for creating and sharing innovations Lack of a climate that encourages inventing		

Functions	Signs, Clues and Indicators	PETC-II Individual, Dyad and Group Levels	PETC-III Organizational Level
Sensing	No provision for detecting and discerning needs Lack of procedures for conducting needs assessment Norms of identifying and reporting needs discouraged Channels for receiving messages of need closed		
Evaluating	Evaluation viewed as a highly specialized function Lack of criteria for judging whether what is desired has been done Lack of usable evaluation procedures across all roles		
Valuing	Lack of openness to hearing conflicting value positions Unwillingness to explore value conflicts Lack of procedures for testing whether what is done or is intended is truly desired Conflicting values repressed		
Storing	Lack of criteria about what to store and what to discard Lack of systematic means of having available what is needed when it is needed		
Retrieving	Lack of a system for retrieving what is needed quickly Subsystem lacking the means to share resource needs		
Diagnosing	Lack of diagnostic procedures usable by several roles Failure to identify ways that things are operating in relation to each other Inability to identify and analyze the dynamic interrelationships of things Failure to identify what is causing problems		

Functions	Signs, Clues and Indicators	PETC-II Individual, Dyad and Group Levels	PETC-III Organizational Level
Assessing	The range of what exists narrowly conceived Inventory of human resources not done frequently enough or not done at all		
Producing	Lack of procedures for getting in touch with needs Lack of clarity about what the products are Failure to use learner outcomes as referent for determining productivity		
Deciding	Lack of clarity about what kinds of decision-making responsibility belong to different roles Authority to make decisions not being discharged adequately Ambiguity about the ways in which decisions are made Lack of accountability system to keep track of decisions made		
Reporting	Lack of clearly defined reporting system Unnecessary reporting Incomplete reporting Information needs and who needs to report to whom not identified		
Validating	Apparent discrepancy between intentions and actions Failure to check new ideas and procedures against organizational values and expectations Lack of systematic and recurrent procedures for testing underlying assumptions of procedures, policies and decisions		

Resource 14: Checklist for Planning Organizational Development Work

Determine which of the following tasks in the phases of planned change you need to perform:	What seems to be the difficulty? What does the client say the problem is? What does the client state as a need? What is the request for help?	What seems to be the present or potential motivations of the client toward and against change? What is the client's present awareness of a need for change?	What provisions need to be made to establish and maintain a consulting relationship
Clarifying or Diagnosing the Problem; Developing a Need for Change ☐			
Assessing Change Possibilities and Motivation Capacity ☐			
Identifying Own Motivations and Resources ☐			
Formulating and Selecting Appropriate Change Objectives ☐			
Planning for Establishing and Maintaining Relationship ☐			

Resource 14, Page 2
Activity 4
First Meeting

Scrutinize the differential diagnostic matrix and then determine your preliminary diagnosis of the client system's needs.

Level of Human System	Operational Characteristics	Functions
Determine level or levels of human systems to be given consideration in your diagnosis.	Determine operational characteristic or characteristics that appear to be the source of difficulty.	Determine function or functions of human systems that are missing or need to be strengthened.
	What critical questions are you raising for each operational characteristic?	What ideas (theoretical information) are necessary for you to make the diagnosis and to explain what you have discovered?
	What data should you collect to continue the diagnosis?	

Resource 14, Page 3
Activity 4
First Meeting

Scrutinize the differential intervention matrix and then answer the questions below in light of your diagnostic work so far.

Determine which of the following tasks in the phases of planned change you need to perform:	What kind of problem solving will you be using?	What role(s) will you be assuming or considering as appropriate in light of your diagnosis of needs?	What intervention strategies, procedures and techniques are you considering?
Choosing and Taking Appropriate Type of Roles ☐	ACTION RESEARCH Identify the Concern ☐		
Building and Maintaining Effective Relationship(s) ☐	Diagnose the Situation ☐		
Recognizing, Guiding and Adapting to Phases of Planned Change ☐	Gather Data ☐ Consider Action Alternatives ☐	Why? What personal bias or value position influenced your selection?	Which are you going to implement?
Choosing Specific Techniques and Acquiring/Using Repertoire of Techniques, Strategies and Procedures ☐	Retrieve Resources ☐ Try an Action Plan ☐ Determine and Maintain Improvement ☐		What is your rationale for these interventions?
Planning Generalization and Stabilization of Change ☐	SYSTEM TECHNOLOGY Analyze System ☐		What effects, if any, will this intervention have on the organization as a whole?
Planning to Redefine Relationship ☐	Synthesize System ☐ CONFLICT AND NEGOTIATION		
	Identify Conflict ☐ Surface Conflict ☐ Negotiate ☐		

	Periods of Time Covering the Total OD Effort (Each Period May Last From Days to Months)						
Kinds of Work	**Period I**	**Period II**	**Period III**	**Period IV**	**Period V**	**Period VI**	**Period VII**
Identify a need for change	*PHASE 1 emphasizes this kind of work*	(What is the dissatisfaction or the desire? Who wants the improvement?)					
Establish a consultant relationship	(Does the	*PHASE 2 emphasizes this kind of work*	client desire help? Does the consultant want to help? Who will do what?)				
Clarify or diagnose client's problem	(Why and how are things implied?)		*PHASE 3 emphasizes this kind of work*	happening as they are? What kind of problem solving is			
Examine alternatives and establish intentions	(What can be done to bring improvement?			*PHASE 4 emphasizes this kind of work*	What effects and side effects might occur?)		
Transform intentions into change efforts	(What people need to be involved and what decisions need to action?)				*PHASE 5 emphasizes this kind of work*	be made in order to begin	
Generalize and stabilize change	(What structures and norms must be formed and what forces are needed to structures and norms in order to permanently build the new functional the organization?)					*PHASE 6 emphasizes this kind of work*	support these capacity into
Achieve terminal relationship	(How can the consultants make sure that the client knows it is responsible for the improvement? How can the consultants make sure the client is capable of maintaining the improvement?)						*PHASE 7 emphasizes this kind of work*

Figure 8. The Phases of Consultation as Major Kinds of Work (I)

Procedure 8
Activity 4
First Meeting

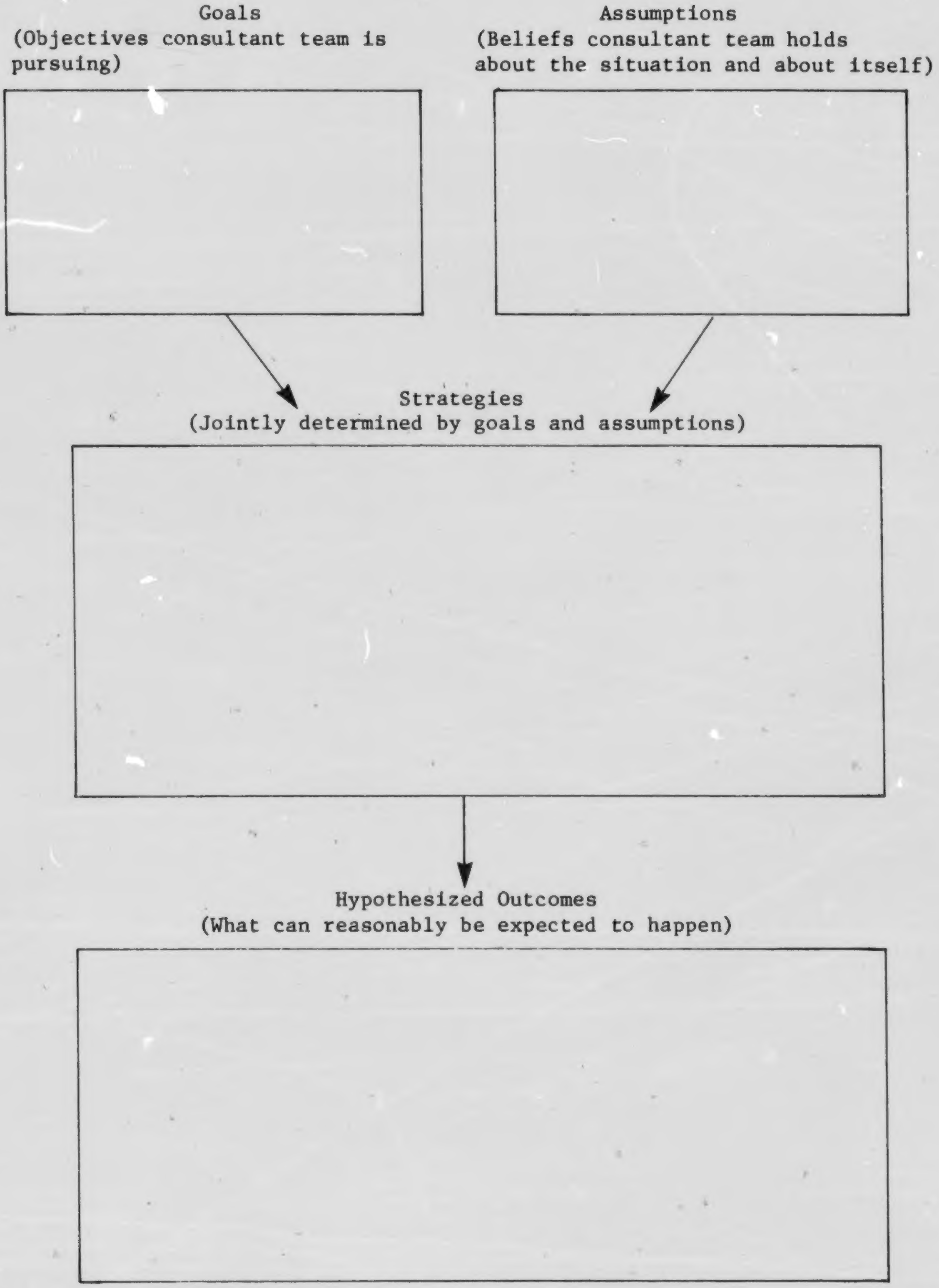
Procedure 8: Intervention Theory (I)

Provide the information called for on these pages. The information you write here should be based on your analysis of your organizational data. Be as concise as possible. Include enough information to enable the members of your LG to understand your plans more readily.

The Situation

This is a description. Write out of a "stream of consciousness." Jot down things about your situation as they come to you.

Procedure 8, Page 2
Activity 4
First Meeting



Goals
(Objectives consultant team is pursuing)

Assumptions
(Beliefs consultant team holds about the situation and about itself)

Strategies
(Jointly determined by goals and assumptions)

Hypothesized Outcomes
(What can reasonably be expected to happen)

SECOND MEETING

Activity 5: Responding to Substantive Issues in Your Organization

Purpose: To give trainees an opportunity to report their OD experiences to each other. To help trainees gain understanding about additional PETC-III concepts.

Objectives: Given a set of procedures, TU's will prepare a report of progress for presentation to the LG, and for receiving feedback.

Given sections from Chapter II in the CI ("Understanding Any Particular Educational Organization" and "Substantive *versus* Dynamic Issues") and given a set of procedures, trainees will study papers and discuss them in their TU's.

Time	Agenda	Materials
10 min.	1. Introduce activity	A5, Responding to Substantive Issues in Your Organization
60 min.	2. Prepare a report of progress	P9, Report of Progress P8, Intervention Theory (I)
90 min.	3. Study parts of Chapter II in the CI	P10, More PETC-III Concepts (Part I) Chapter II of the CI (pages 79-103 only)
90 min.	4. Discuss issues	P10, (Part II)
60 min.	5. Complete progress report	P10, (Part III)
2½ hours	6. Report progress	P11, Guidelines for Reporting Progress

Procedure 9: Report of Progress

The product from all that follows will be a presentation of a progress report to be presented to your LG.

DO THE STEPS LISTED BELOW IN YOUR TU. 60 min.

A. Compare your plans (see Procedure 8) with what you actually did.

   1. What were your actual goals, assumptions and strategies?

   2. What outcomes did you achieve?

   3. If what you did differs from your plans, how do you account for the difference?

B. Write your actual intervention theory on page 2 of this procedure. If what you planned and what actually occurred are the same, write down that information.

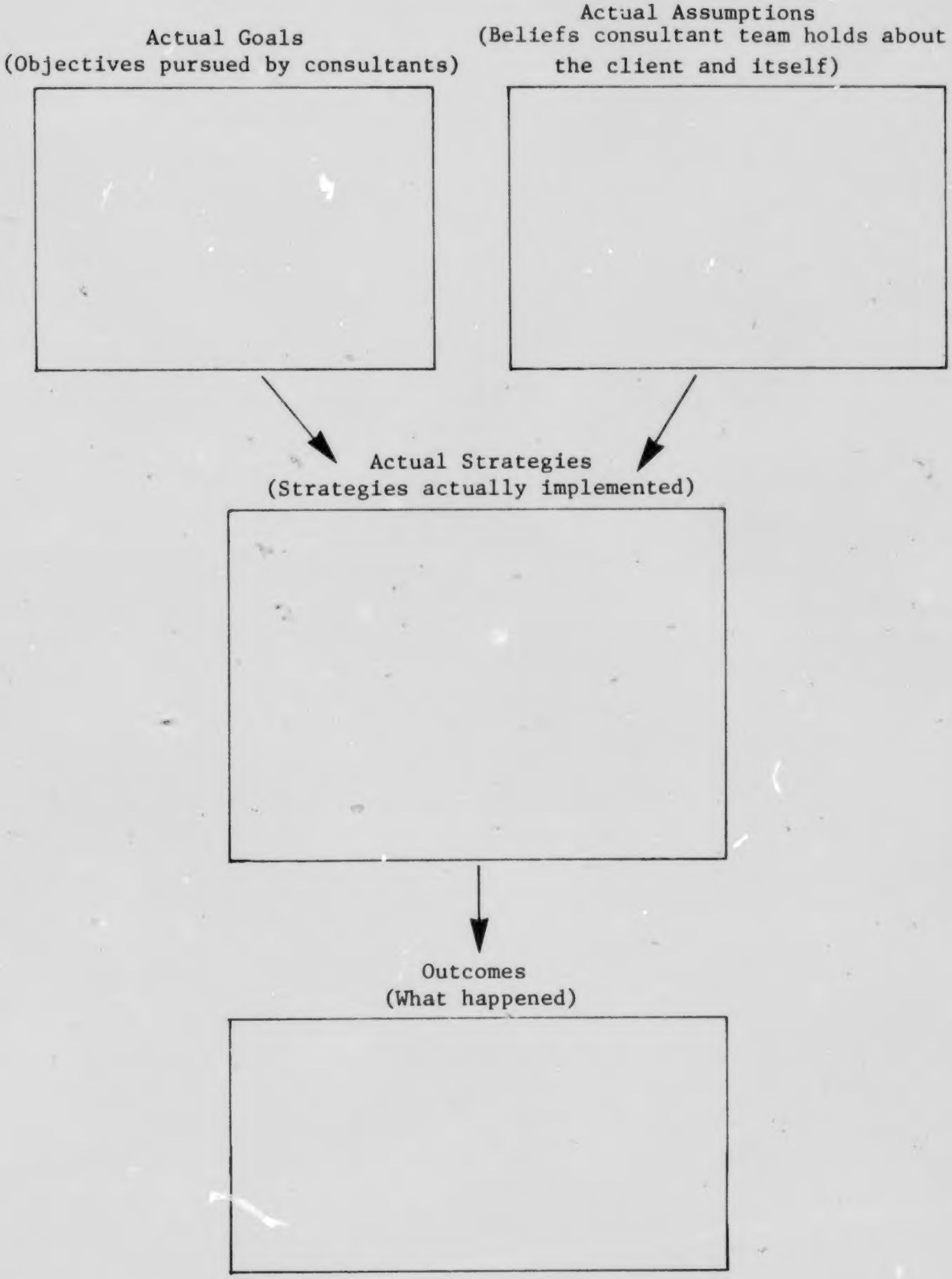
C. List issues you see now that you believe you need to attend to next. Be prepared to document your list with any new diagnosis you have made. Identify the PETC-III concepts studied in the first meeting that apply to your progress report.

D. Write a brief description (on page 3 of this procedure) of the situation in your organization as you see it now, based on what actually has happened since the last meeting, issues you believe you need to attend to next and any additional diagnosis you have made. This description, or some aspect of it, may become the basis upon which you will make plans in Activity 7 of this meeting.

THE NEXT ACTIVITY WILL BE STUDYING ADDITIONAL PETC-III CONCEPTS. YOUR REPORT WILL BE COMPLETED AFTER YOUR STUDY.

Procedure 9, Page 2
Activity 5
Second Meeting

Intervention Theory: What Actually Happened?


Actual Goals
(Objectives pursued by consultants)
Actual Assumptions
(Beliefs consultant team holds about the client and itself)
Actual Strategies
(Strategies actually implemented)
Outcomes
(What happened)

Describe below the situation as you see it now. Focus on the aspect of the situation you believe needs attention now.

The Situation Now

Procedure 10: More PETC-III Concepts

This exercise has three parts. Its purpose is to give you an opportunity to study and discuss some ways in which to understand any particular educational organization and to consider alternative ways to view the system's needs with regard to substantive issues.

Part I: Individual Work

$\boxed{\text{90 min.}}$

A. Work alone and study "Understanding Any Particular Educational Organization" and "Substantive *versus* Dynamic Issues" in Chapter II of the CI. Note the list of OD/IQ questions attached.

B. Do the two steps listed below.

   1. Write a list of questions for clarification.

   2. Identify one or more of the internal or external factors that are particularly relevant to your situation. Place a check mark beside each one.

Part II: Discussion in New Groups

$\boxed{\text{90 min.}}$

A. Share your list of questions for clarification in the group.

B. Report and discuss factors you identified as relevant to your situation.

Part III: Completion of Progress Report in Training Unit

$\boxed{\text{60 min}}$

A. Determine in what ways the concepts you have just studied influence the way you have reported your work so far.

B. Now complete your report to the LG. Review the work you did in preparing a progress report for the LG. Where appropriate and relevant, incorporate into your report the use of concepts you have just studied. Plan to limit your report to 45 minutes.

Organizational Development/Intelligence Quotient Questions

Understanding a Specific Educational Organization

1. Understanding particular organization calls for knowledge of six things. Two are: congruence with the larger community and structure and norms. What are two others?

   PURPOSE, GROWTH, MATURITY AND HEALTH

2. What is the idealized dual purpose in the overall system of American education for maintaining society?

   a. PREPARING INDIVIDUALS TO MAKE SOCIETY FUNCTION

   b. FACILITATING UNIQUE GROWTH OF INDIVIDUALS TO THEIR MAXIMUM CAPABILITIES OF CREATING PLURALISTIC LIFE STYLES THAT CAN CONTRIBUTE TO EVOLUTION OF SOCIETY

3. There are four current social functions of public schools. One of them is selection. What are two others?

   CUSTODIAL, SOCIALIZATION AND INSTRUCTIONAL

4. In PETC-III the position is taken that schools of the future should be judged successful to the extent that they provide appropriate learning experiences for all students. What three factors define appropriateness?

   READINESS, RELEVANCE AND MEANINGFULNESS

5. Why is it important, when working with a particular educational organization, to have a clear conception of its purpose and what you care to see it become?

   BECAUSE ORGANIZATIONAL DEVELOPMENT WORK SHOULD BUILD-IN AND MAINTAIN INCREASED FUNCTIONAL CAPABILITY OF THE ORGANIZATION SO THAT IT CAN BETTER FULFILL ITS PURPOSE

6. The orientation of the sequence of PETC training is that consultants, and ultimately their clients, need ways to understand and influence the dynamics of local situations. What is the purpose of this understanding and influence?

   TO EFFECT COPING WITH SUBSTANTIVE ISSUES

7. What are factors that may constrain or help an organization in its efforts to better fulfill its purpose called?

   SUBSTANTIVE ISSUES

Substantive Issues and Growth and Maturity

1. Most schools are "adult" in their functional capability and "opinionated" in the ways in which they characteristically carry out their functions. What is their usual way of responding to substantive issues?

   REACTIVE COPING

2. When an adult organization is also in the more advanced phases of maturity, how can it respond?

   BY PROACTIVELY ALTERING FACTORS AND BY GENERATING NEW FACTORS

3. There are four ways for consultants to deal with the client's OD needs. One is to achieve greater congruence of sophistication among functions. What are two other ways?

   a. TO DEAL WITH SUBSTANTIVE ISSUES ONLY

   b. TO INCREASE NEEDED BALANCE OF FUNCTIONS

   c. TO INCREASE OVERALL SOPHISTICATION OF FUNCTIONAL CAPABILITIES

Procedure 11: Guidelines for Reporting Progress

Reporting to Your Learning Group

2½ hours

A. In addition to updating the members of the LG about the situation in your organization and your OD work, a major emphasis in this reporting period should be further clarification and increased understanding of the ideas you have been studying in Chapter II of the CI.

B. Each TU will have 45 minutes for presenting, discussing and receiving reactions to its progress report.

1. Manage all aspects of your 45 minutes.
2. Be prepared to document any aspect of your report as requested.
3. Ask for reactions to your use of new ideas.
4. If you have specific requests of the LG, make them explicit.

Activity 6: Diagnosing Organizational Growth and Maturity

Purpose: To gain understanding about concepts of growth and maturity. To diagnose the growth and maturity of your own organization.

Objectives: Given material from the CI ("Characteristics of Key Functions," "Substantive *versus* Dynamic Issues" and "Complex Systemic Change" from Chapters II and III) and a set of instructions for TU work, trainees will read and discuss material in the TU and will produce a diagnosis of the growth and maturity of their own organizations.

Given a set of instructions for reporting their work to their LG's, trainees will prepare a report and present it. Members of each LG will follow given guidelines for a discussion and critique.

Time	Agenda	Materials	
30 min.	1. Introduce activity	A6,	Diagnosing Organizational Growth and Maturity
3 hours	2. Diagnose organization's growth and maturity	P12,	Diagnosis of Organizational Growth and Maturity (Part I) Chapter II of the CI (pages 55-69 and 102-108) Chapter III of the CI (pages 138-152 only)
3 hours	3. Report diagnosis	P12,	(Part II)

Procedure 12: Diagnosis of Organizational Growth and Maturity

The product of all that follows will be a report of your findings that will be presented and discussed in an LG meeting. You will have 60 minutes to present your report.

Part I: Guidelines for Individual and Training Unit Work

3 hours

A. Individually read and study in the CI as instructed below. Refer to page 3 of this procedure for some important key ideas to keep in mind as you study.

1. "Characteristics of Key Functions" in Chapter II. Mark the third and fourth paragraphs in this section for special attention.

2. Figure 5, (pages 57-63 of Resource 21).

3. "Substantive *versus* Dynamic Issues" in Chapter II. Mark the second and third paragraphs for special attention.

4. "Complex Systemic Change" in Chapter III. Mark the paragraphs listed below for special attention.

   a. First full paragraph of the section

   b. First paragraph in the subsection "Structural Linkages Between Roles and Subparts"

   c. First full paragraph on page 143

   d. Third paragraph on page 143

   e. First two paragraphs in the subsection "Maturity and Strategies for Changing an Organization"

   f. The subsection "Strategies for Changing Organizational Maturity," pages 145-148

B. In your TU discuss and clarify the concepts by doing the tasks listed below. Use your current diagnosis of your organization as an information base.

   1. Place your organization or your direct client in one of the maturity cells for each function in Figure 5, pages 57-63.

   2. List one or more functions in Figure 5 which might be appropriate for you to add to the functions you have already identified from the differential diagnostic matrix.

   3. Select one of the alternative ways of dealing with substantive issues you think you may emphasize in your organizational work.

C. Prepare a report to the LG.

   1. Use newsprint. Make your report as brief and as graphic as possible. Include your work on each of the tasks in Step 3 above.

   2. Report any help you need for clarifying or elaborating concepts.

   3. Allow time for discussion and additional questions.

Part II: Guidelines for Learning Group Work — 3 hours

This activity will provide an opportunity for you to test your perceptions concerning your organization and the data you have about your organization. It will enable you and others in the LG to apply concepts of growth, maturity and working with substantive issues and to test how well you understand these concepts. It will also give you clues about the kinds of data about your organization you may need to retrieve.

A. Monitor your time carefully so that each TU does not exceed 60 minutes in its presentation and discussion.

B. In order to meet the primary objective of increasing clarity of understanding of the assigned reading, pay close attention to the suggestions listed below.

   1. You and others in your TU may attach different meanings to the PETC concepts. Be on the lookout for such differences.

   2. State how your understanding differs from what you think you are hearing.

Key Concepts to Remember

As you get into this study, remember the key ideas listed below.

Functions

Functions are vital processes without which a system is less able (or even completely unable) to reach its objectives. A function is not the same thing as a role. The word role describes behavior. The word function describes a process vital to the existence of a system.

Operational Characteristics

Operational characteristics are the peculiar ways in which a human system goes about fulfilling the functions that give it an identity.

Growth

A human system goes through rather predictable stages from the time it is formed until it dies or is ended. As it grows, a human system can add continuously to the number and balance of functions it provides for itself.

Evolution

Human systems evolve through similar kinds of phases in the ways they have of understanding their own identities and of experiencing the outside world. Within their characteristic ways of carrying out their functions, systems can change as they evolve.

Maturation

A human system may go through the stages of a life cycle. As it goes through these evolutionary stages, it may mature in its understanding of itself. Maturity also refers to a system's movement along a path of increasing awareness of life's meaning.

Activity 7: Planning Organizational Development Work (II)

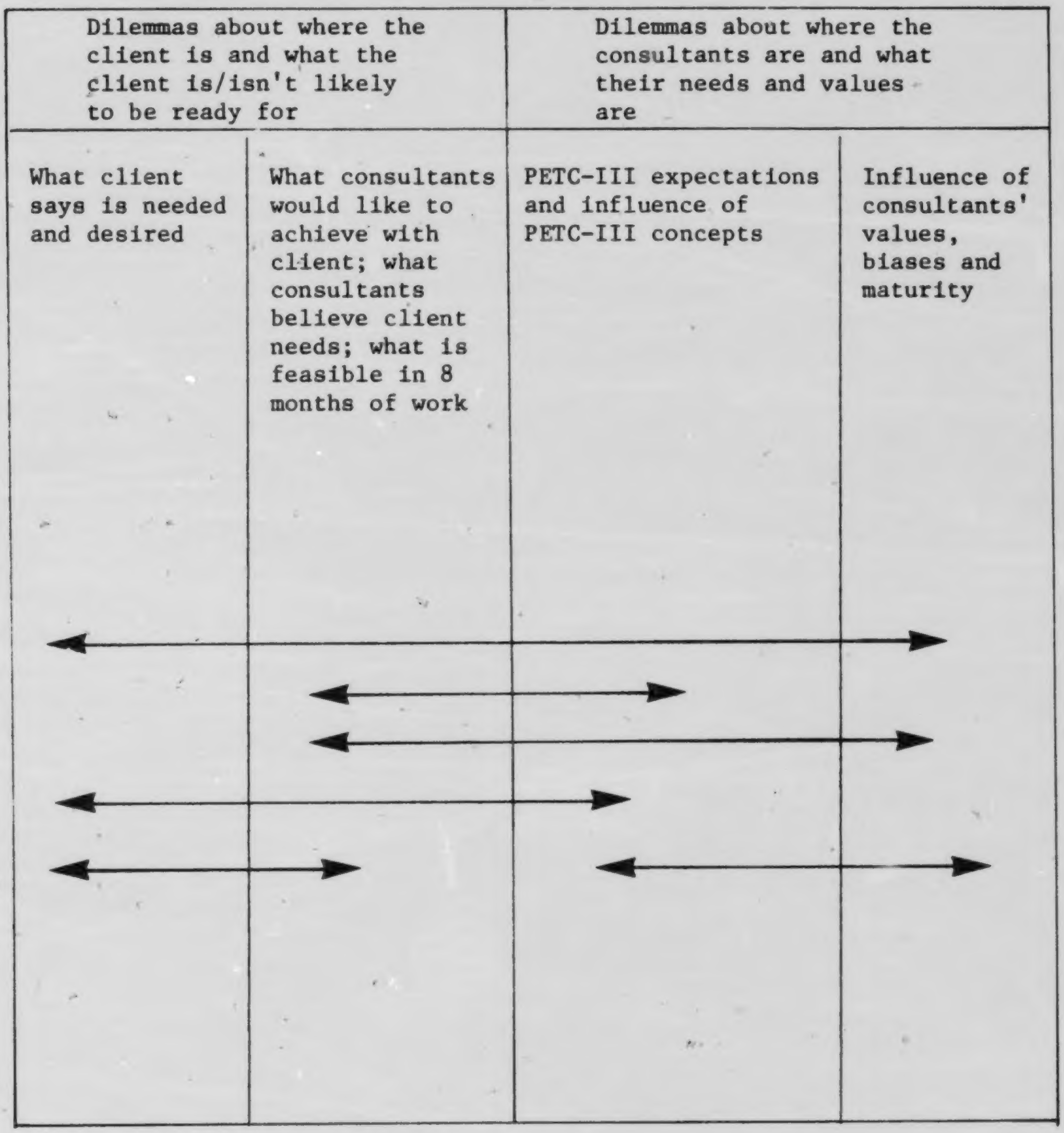
Purpose: To make plans for OD work between the second and third meetings. To clarify OD concepts and provide a critique of intervention plans.

Objectives: Given the materials listed below, trainees will apply PETC-III concepts and produce plans for their OD work between the second and third meetings and will report their plans to the LG for reactions and a critique.

Trainees will apply all criteria presented in the meeting and will utilize all data collected thus far.

Time	Agenda	Materials
10 min.	1. Introduce activity	A7, Planning Organizational Development Work (II)
10 min.	2. Consider dilemmas of the OD consultant	R15, Dilemmas of the PETC-III Trainee
30 min.	3. Review guidelines	P13, Guidelines for Planning Organizational Development Work (II) P14, Checklist for an Organizational Development Consultant R16, The Phases of Consultation as Major Kinds of Work (II)
3 hours	4. Plan OD work	P13, (Part I) P14, P15, Intervention Theory (II)
3 hours	5. Report plans	P13, (Part II)

Resource 15: Dilemmas of the PETC-III Trainee



Dilemmas about where the client is and what the client is/isn't likely to be ready for		Dilemmas about where the consultants are and what their needs and values are	
What client says is needed and desired	What consultants would like to achieve with client; what consultants believe client needs; what is feasible in 8 months of work	PETC-III expectations and influence of PETC-III concepts	Influence of consultants' values, biases and maturity

Figure 9. Potential Conflicts and Dilemmas

Resource 15, Page 2
Activity 7
Second Meeting

Under each item write phrases to identify actual or potential conflicts.

1. There is a potential conflict between client's desires and needs and what the consultants would like to achieve. (Identify actual or potential conflict.)

2. There is a potential conflict between client's desires and needs and the influence on the consultants of PETC-III expectations and concepts. (Identify actual or potential conflict.)

3. There is a potential conflict between client's desires and needs and consultants' values, biases and maturity. (Identify actual or potential conflict.)

4. There is a potential conflict between what the consultants would like to achieve and PETC-III expectations. (Identify actual or potential conflict.)

5. There is a potential conflict between what the consultants would like to achieve and their values, biases and maturity. (Identify actual or potential conflict.)

6. There is a potential conflict between PETC-III expectations and consultants' values, biases and maturity. (Identify actual or potential conflict.)

Procedure 13: Guidelines for Planning Organizational Development Work (II)

The product of this procedure will be a presentation to the LG of your plans for your OD work between the second and third meetings.

Part I: Work to Do in Your Training Unit

3 hours

A. Take a few minutes to check Procedure 14 and complete as much of it as is appropriate.

B. Produce plans for your OD work between the second and third meetings.

   1. Fill our Procedure 15. Determine your goals, assumptions and strategies.

   2. Prepare newsprint report of the information asked for in Procedure 15.

   3. Your report should make explicit how you are using or taking into account the concepts studied so far.

C. As you produce your plan, review it and check to see if the resources listed below are relevant to your needs.

   Major Kinds of Problem Solving (Resource 4)

   Diagnostic Resources (Resource 13)

      Use of Needs Assessment in Organizational Development Work

      Considering Multiple-Entry Strategies

      Toward Building a Relationship

      Diagnosis

   Checklist for Planning Organizational Development Work (Resource 14)

   Dilemmas of the PETC-III Trainee (Resource 15)

   The Phases of Consultation as Major Kinds of Work (II) (Resource 16)

   CI, the following sections:

      "Characteristics of Key Functions" (Chapter II)

      "Understanding Any Particular Educational Organization" (Chapter II)

"Substantive *versus* Dynamic Issues" (Chapter II)

"Complex Systemic Change" (Chapter III)

Part II: Guidelines for Reporting Plans for Organizational Development Work

3 hours

A. Each TU will manage its presentation and discussion.

B. Presenters will make explicit the kind of help they wish to receive from the LG.

C. Members of the LG will watch for the items listed below.

   1. Lack of explicit goals and assumptions
   2. Discrepancies between stated goals/assumptions and strategies for action
   3. Clarity about where the consultant is on the phases of planned change
   4. Inconsistencies or congruence between stated goals/assumptions and the PETC-III concepts
   5. Degree of concreteness of the goal statements

Procedure 14: Checklist for an Organizational Development Consultant

Do this quickly--off the top of your head!

A. What have I done to help the client group clarify its motivation to change?

What are additional things I can do to help the client develop motivation to change?

B. In assessing my potential helpfulness, how relevant to the client's needs are:

My resources?____

My interests?____

My competence?_______________________________________

What consideration do I need to give to my job security in relation to the client system?

Are my objectives (e.g., to help the client, complete PETC-III training or get promoted) compatible with the client's needs?

What are my time constraints?

What are helping and hindering factors in my team relationship?

C. What additional clarification and agreements are needed to determine the role I will take in planning and conducting the OD project and the role the client system will take?

What expectations have been established and what additional expectations are needed concerning the amount and kind of effort required by me and by the client?

Have I achieved clarification about restrictions (if any) upon the kinds of change allowable?

In the organization, with whom do I have the relationship (legitimate power, authority) needed to proceed with OD work?

What are the established expectations about the role(s) or kinds of help that I will provide?

D. What concepts (dimensions, categories and ideas) from the CI, the differential diagnostic matrix, the differential intervention matrix, etc., will I use in making diagnoses?

What kinds of information will be needed? How is information to be obtained and from whom?

In what ways do I plan to involve members of the organization in developing diagnostic skills?

What information do I have about the boundaries of the client system? What are my perceptions and impressions?

E. What plans I made thus far concerning the way we (OD consultants and client system) should operate?

F. What plans for change have I formulated thus far?

What linkages in the internal system have I made?

Persons:____

Issues:____

Parts of the system:_________________________________

What linkages in the external system have I made?

Persons:____

Issues:____

Parts of the system:_________________________________

Have I developed a time schedule?

Have I built time expectations?

What procedures and structure have I chosen for carrying out my plans?

What provision have I made for anticipatory testing of plans?

What provisions have I made to develop necessary skills in those involved in taking action?

What have I done to secure commitment to carrying out the change plan?

G. Am I proceeding to carry out my change plan?

What am I doing to maintain the support and understanding of the larger system?

Am I obtaining feedback on the consequences of my action steps?

Am I coordinating the efforts of different groups and people involved in the change effort?

H. What am I doing to generalize and stabilize the changes achieved?

What are the effects of the changes on the whole system?

Is there any evidence of "regression" in the system?

What am I doing to facilitate the spread of the changes to other parts of the target system and to adjacent interdependent systems?

I. What is different in the whole system as a result of changes I have facilitated?

Does the whole system now have increased functional capacity?

Have structures and norms been changed?

Is the system more capable of maintaining its own functional capacity?

Resource 16: The Phases of Consultation as Major Kinds of Work (II)

	Periods of Time Covering the Total OD Effort (Each Period May Last From Days to Months)						
Kinds of Work	Period I	Period II	Period III	Period IV	Period V	Period VI	Period VII
Identify a need for change	*PHASE 1 emphasizes this kind of work*	(What is the dissatisfaction or the desire? Who wants the improvement?)					
Establish a consultant relationship	(Does the	*PHASE 2 emphasizes this kind of work*	client desire help? Does the consultant want to help? Who will do what?)				
Clarify or diagnose client's problem	(Why and how are things implied?)		*PHASE 3 emphasizes this kind of work*	happening as they are? What kind of problem solving is			
Examine alternatives and establish intentions	(What can be done to bring improvement?			*PHASE 4 emphasizes this kind of work*	What effects and side effects might occur?)		
Transform intentions into change efforts	(What people need to be involved and what decisions need to action?)				*PHASE 5 emphasizes this kind of work*	be made in order to begin	
Generalize and stabilize change	(What structures and norms must be formed and what forces are needed to structures and norms in order to permanently build the new functional the organization?)					*PHASE 6 emphasizes this kind of work*	support these capacity into
Achieve terminal relationship	(How can the consultants make sure that the client knows it is responsible for the improvement? How can the consultants make sure the client is capable of maintaining the improvement?)						*PHASE 7 emphasizes this kind of work*

Figure 10. The Phases of Consultation as Major Kinds of Work (II)

Procedure 15: Intervention Theory (II)

Provide the information called for on these pages. The information you write here should be based on your analysis of your organizational data. Be as concise as possible. Include enough information to enable the members of your LG to understand your plans more readily.

The Situation

NOTE: As you proceed to the next page, remember to write goals in concrete terms and using action verbs. These are consultant goals (what the consultants are going to do, not what the client is going to do).

Procedure 15, Page 2
Activity 7
Second Meeting

Goals
(Objectives consultant team is pursuing)

Assumptions
(Beliefs consultant team holds about the situation and about itself)

Strategies
(Jointly determined by goals and assumptions)

Hypothesized Outcomes
(What can reasonably be expected to happen)

THIRD MEETING

Activity 8: Identifying Critical Issues in the Phases of Consultation

Purpose: To provide an opportunity for trainees to review where they are in their OD work and to identify critical issues in the phases of consultation that they are experiencing right now.

Objectives: Given a set of procedures for TU and LG work, trainees will identify and discuss the critical issues of consultation they are encountering.

Time	Agenda	Materials
10 min.	1. Introduce activity	A8, Identifying Critical Issues in the Phases of Consultation
10 min.	2. Read Procedure 16	P16, Report of Critical Issues in the Phases of Consultation R3, Tailoring Organizational Development Interventions for Schools R16, The Phases of Consultation as Major Kinds of Work (II) Chapter IV of the CI, (pages 171-179 only)
30 min.	3. Share "good news" and "bad news" about OD work	P16, (Part I)
60 min.	4. Prepare brief summary of OD work and identify critical issues in TU	P16, (Part II) R2, Critical Issues in the Phases of Consultation Chapter IV of the CI, (pages 171-179 only) R16 R15, Dilemmas of the PETC-III Trainee
60 min.	5. Present report to LG	P16, (Part III) R2

Procedure 16: Report of Critical Issues in the Phases of Consultation

Part I: Sharing Good News and Bad News in Total Group — 30 min.

In the total group, share "good news" and "bad news" about your OD work.

Part II: Writing Brief Summary of Organizational Development Work in Training Unit — 60 min.

A. Make entries in your consultant log and bring it up to date.

B. Produce a BRIEF SUMMARY of your OD work between the second and third meetings. Briefly outline the major things you did.

C. Identify the critical issues in the phases of consultation you are dealing with. Specify where you are in the phases of consultation. As a guideline for reporting, use Resource 2 (Critical Issues in the Phases of Consultation), Resource 16 (The Phases of Consultation as Major Kinds of Work, II) and "Applying the Phases of Consultation" (in Chapter IV of the CI.)

D. Prepare a report on newsprint that captures briefly and in outline form the key ideas of your summary and the critical issues you are dealing with. Make your report succinct and informative.

Part III: Reporting Summary of Organizational Development Work in Learning Group — 60 min.

The purpose of this procedure is to bring members of the LG up to date about the OD work of each TU and to highlight critical issues in the phases of consultation with which each TU is dealing.

The time limit is 20 minutes.

Use Resource 2 as a checklist and guide in giving and critiquing reports.

Activity 9: Collecting Information From Self and Others About Self as Consultant

Purpose: To increase awareness of self as consultant. To identify points for professional growth.

Objectives: Given a set of procedures for individual and pair work, each trainee will collect and diagnose information from self and others about his/her consulting self.

Time	Agenda	Materials
10 min.	1. Introduce activity	A9, Collecting Information From Self and Others About Self as Consultant
15 min.	2. Introduce Procedure 17	P17, Collection of Data From Self and Others
30 min.	3. Review Chapter V of the CI	Chapter V of the CI, pages 217-226
3 hours	4. Collect data from yourself and others about your consultant self	P17

Procedure 17
Activity 9
Third Meeting

Procedure 17: Collection of Data From Self and Others

The purposes of this procedure are:

1. To give you an opportunity to increase your awareness of some of the aspects of your consultant self

2. To provide a way for you to identify some points for your own personal growth as a consultant

3. To enable you to identify questions about your consulting self that you need to get answered

The pages that follow are a series of worksheets containing instructions for individual work, with opportunities to secure information from others in the workshop. The worksheet titles and the approximate time each should take are listed below.

30 min.	Part I:	My World As a Consultant
60 min.	Part II:	My Maturity As a Consultant
60 min.	Part III:	A Diagnosis of Me As a Human System
30 min.	Part IV:	Recording Insights and Questions

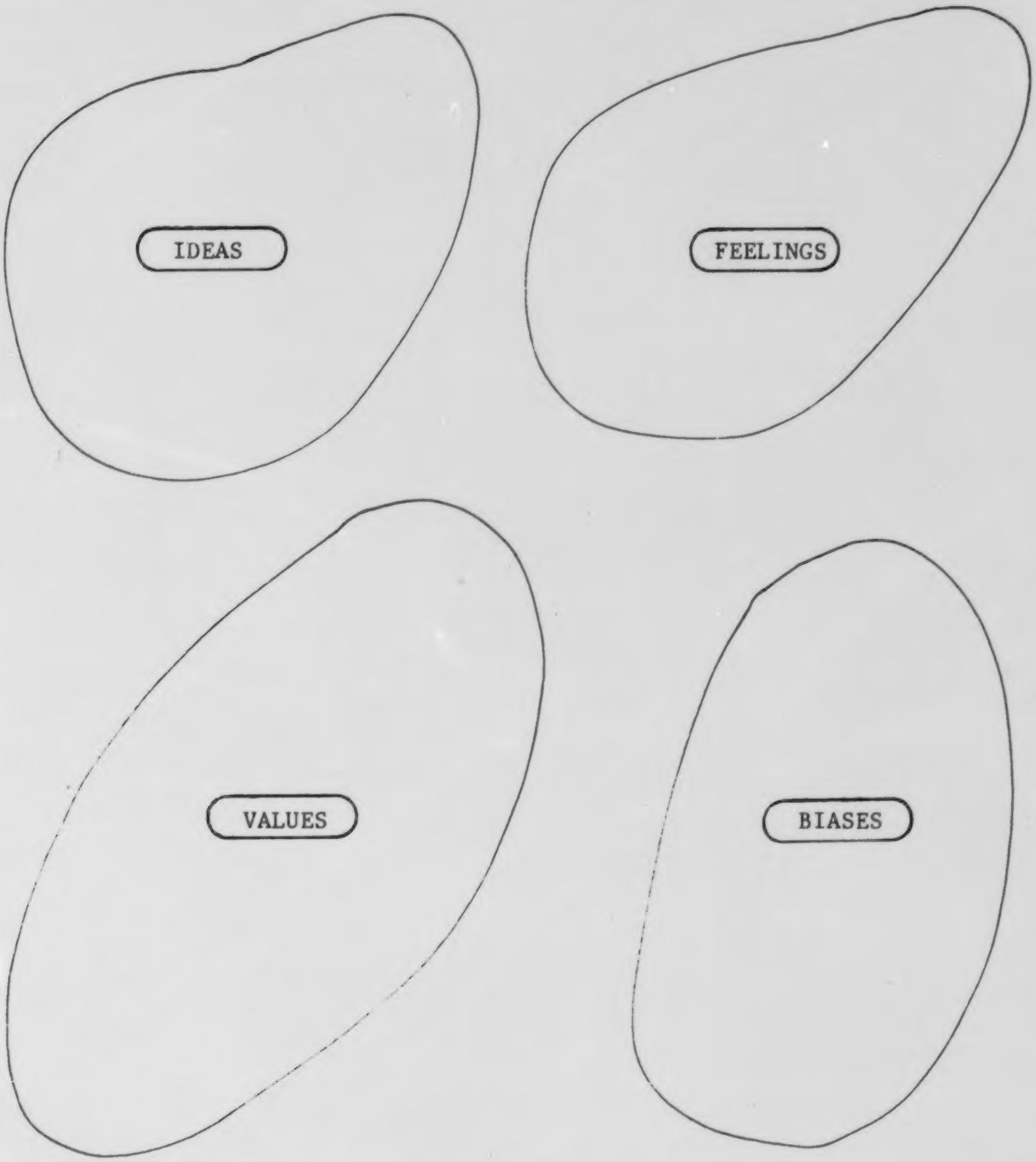
Some of these worksheets may require less time than is projected for completion and others may require more. Work at your own pace, but try to complete all the worksheets within the total time projected.

Part I: My World As a Consultant

30 min.

Here are four ways to examine your self (your worlds of ideas, feelings, values and biases) as a consultant.

> Instructions: In each "world space" record the ideas, feelings, values or biases you see as CENTRAL to your CONSULTANT SELF.



Part II: My Maturity As a Consultant

60 min.

Here is a part of Figure 36 (on page 16 of Resource 21).[1]

1. Read the cells with your self in mind.
2. Place your self in one of the cells for each variable. Keep this rating private for the moment. (You may want to record it on a separate sheet of paper.)
3. Ask the members of your LG (or the other LG, if you wish) to place you in one cell for each variable. Don't discuss the rating with them; just ask them to rate you.
4. After collecting information from others, record the results (including your own rating) on the chart below and plot a profile of what you and others see as your maturity regarding these variables.

Variables to consider	*Stereotypic*	*Opinionated*	*Existential*	*Creative*
Boundaries				
Usual orientation toward consultants				
Changeableness				
Usual kind of change				
Acceptance of responsibility for change				

---

[1] Check Figure 29 (on page 3 of Resource 21) for elaboration about possible evolution of social-psychological self.

Part III: A Diagnosis of Me As a Human System

60 min.

On the next page is a grid of operational characteristics, with functions listed on the right. Your diagnosis should be done in terms of your consulting self.

1. Review the operational characteristics. Then decide which characteristics are sources of problems for you and write one or two key phrases to identify the problem on page 5 of this procedure.

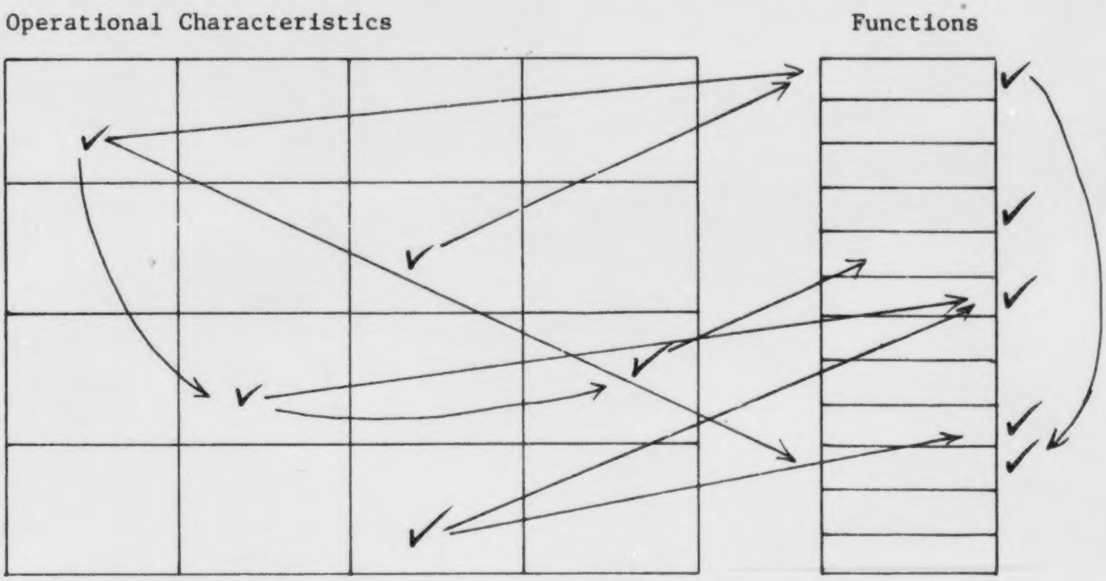
2. Review the list of functions and check those on which you believe you need to improve.

3. Draw arrows from the characteristic(s) to the function(s) you believe are affected.

4. Draw arrows between the characteristics and between the functions that you believe are related.

5. Share your diagnosis with two or three others in your LG or another LG and get their reactions to your diagnosis.

Sample



Before doing the steps outlined on page 4 of this procedure, review the concepts of functions and operational characteristics on page 3 of Procedure 12.

Operational Characteristics

Membership	Influence	Feelings	Roles
Communications	Values	Goals	Means
Skills	Material Resources	Energy	Perception
Inter dependence	Individual Differences	Productivity	Boundaries

Functions

Managing
Planning
Legitimizing
Inventing
Sensing
Evaluating
Storing
Retrieving
Diagnosing
Assessing
Producing
Deciding
Reporting
Validating
Technical Problem Solving
Philosophical Problem Solving
Theoretical Problem Solving
Needs/Opportunity Assessing
Communicating
Structuring
Influencing
Decision Making
Rewarding
Coordinating
Confronting Apparent Discrepancies
Training
Providing Learning Resources
Providing Performance Feedback
Valuing
Perceiving
Expressing Feelings

Part IV: Recording Insights and Questions

30 min.

Record here observations, insights, questions, etc. Write down those things you find most useful and relevant. The work you are doing will be used in the next activity and will be useful for review in later sessions.

A. Reflect on the information you have collected about your consulting self.

   1. What questions does this information raise for you?

   2. What issues must be resolved?

   3. What additional information do you need?

B. Reflect on the implications of your diagnosis for your personal growth as a consultant.

   1. At what points do you see a need for some growth experience for your consulting self?

   2. What ideas do you now have about ways in which you might plan for continuous growth as a consultant?

Activity 10: Giving and Receiving Feedback About Consultant Self

Purpose: To increase awareness of self as consultant.

Objectives: Given the materials listed below, trainees will produce and discuss a Johari Window of self as consultant and give and receive feedback in the LG.

Time	Agenda	Materials
5 min.	1. Introduce activity	A10, Giving and Receiving Feedback About Consultant Self
15 min.	2. Read Resource 17	R17, Using the Johari Window Model to Increase Awareness of Self As Consultant
15 min.	3. Introduce Procedure 18	P18, The Giving and Receiving of Feedback About Consultant Self
30 min.	4. Fill in quadrants	P18, (Part I)
30 min.	5. Make additions to windows	P18, (Part II)
2 hours	6. Give and receive feedback	P18, (Part III)
30 min.	7. Review and revise own Johari Window	P18, (Part IV)

Resource 17: Using the Johari Window Model to Increase Awareness of Self as Consultant

In this activity, the focus will be on increasing your awareness of your consultant self in a more personal way. The major vehicle for doing this will be the Johari Window (Luft and Ingham, 1955). The remainder of this resource is adapted from Joseph Luft's *Group Processes.*[1]

> Like the happy centipede, many people get along fine working with others without thinking about which foot to put forward. But when there are difficulties, when the usual methods do not work, when we want to learn more--there is no alternative but to examine our own behavior in relation to that of others. One problem is that it is so hard to find ways of thinking about such matters, particularly for people who lack an extensive background in the social sciences.
>
> When Luft and Ingham (1955) first presented the Johari Window to illustrate relationships in terms of awareness, they were surprised to find so many people, academicians and nonprofessionals alike, using and tinkering with the model. It seems to lend itself as a heuristic device to speculation about human relations. It is simple to visualize the four quadrants of the model.

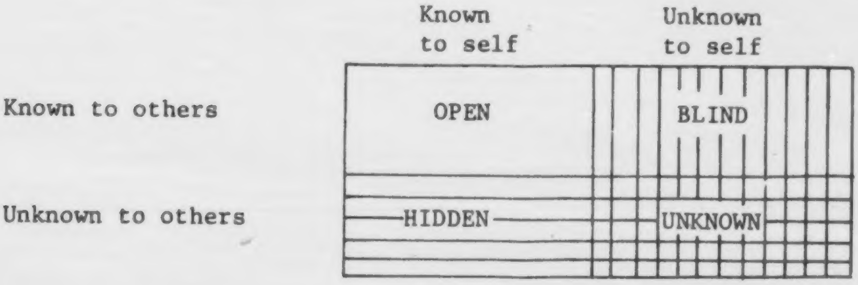


Figure 11. The Johari Window

Quadrant 1. The area of free activity (the open area) is where your behavior and motivation are known to your self and known to others.

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[1] Reprinted from *Group Processes: An Introduction to Group Dynamics* by Joseph Luft, by permission of Mayfield Publishing Company. Copyright © 1970 Joseph Luft.

Resource 17, Page 2
Activity 10
Third Meeting

Quadrant 2. The blind area is where others can see in your self things of which you are unaware.

Quadrant 3. The avoided (hidden) area is where things you know but do not reveal to others (e.g., hidden agendas or sensitive matters) are.

Quadrant 4. The area of unknown activity is where neither you nor others are aware of certain behaviors or motives and yet you can presume their existence because eventually some of these become known and then you realize that they were influencing your relationships all along.

Two illustrations of utilization of the model:

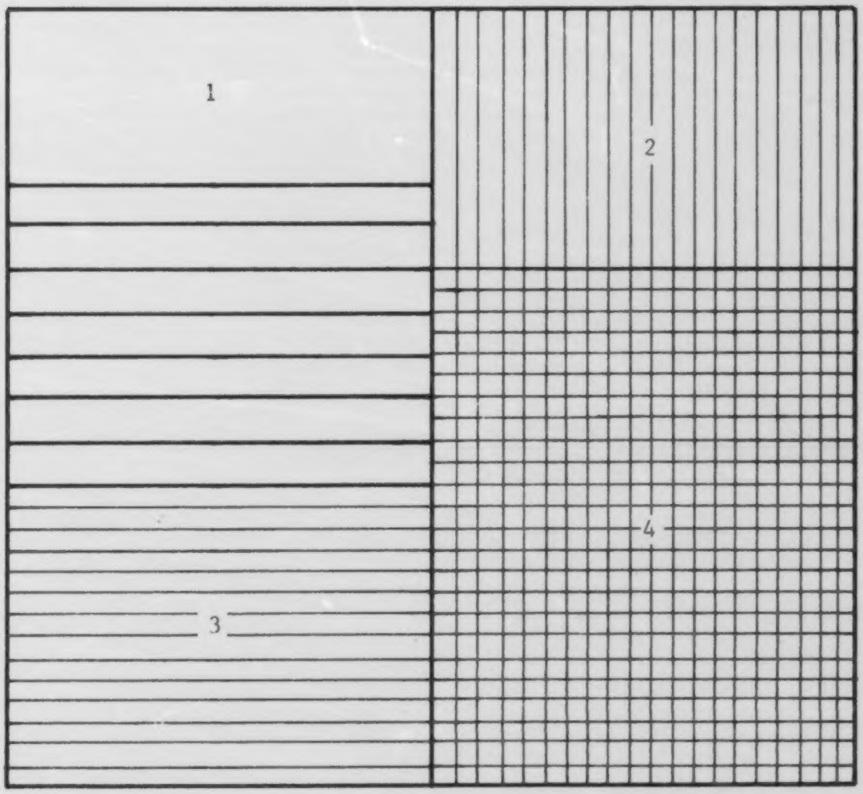
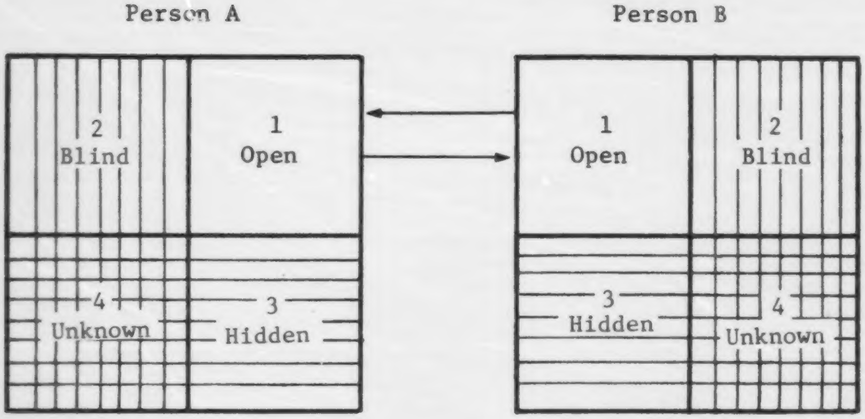
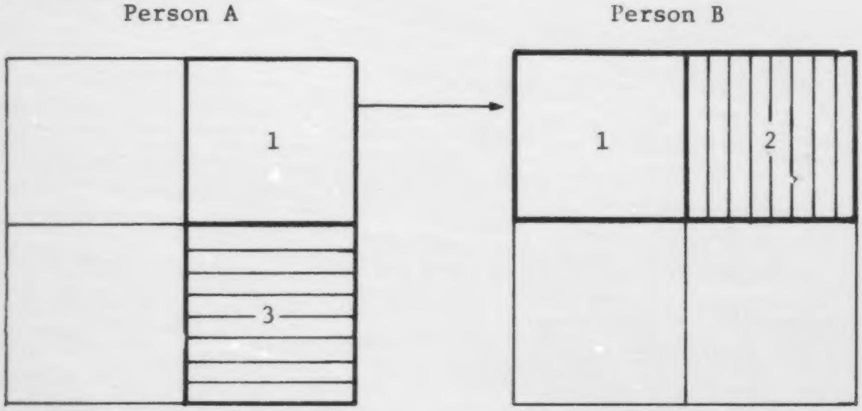


Figure 12. Degrees of Openness


Person A
Person B
2
Blind
1
Open
1
Open
2
Blind
4
Unknown
3
Hidden
3
Hidden
4
Unknown

From Person A's point of view


Person A
Person B
1
3
1
2

From Person B's point of view

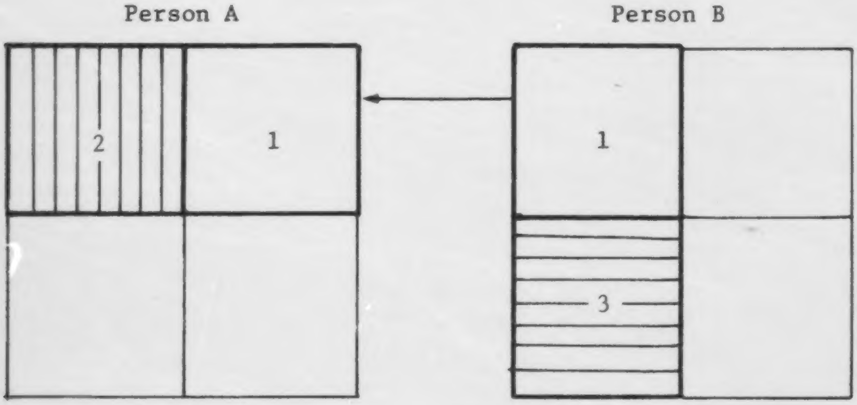

Person A
Person B
2
1
1
3

Figure 13. Interaction Between Two Persons

In a new group, Quadrant 1 is very small; there is not much free and spontaneous interaction. As the group grows and matures, Quadrant 1 expands in size, and this expansion usually means you are freer to be more like yourselves and to perceive others as they really are. Quadrant 3 shrinks in area as Quadrant 1 grows larger. You find it less necessary to hide or deny things you know or feel. In an atmosphere of growing mutual trust, there is less need for hiding pertinent thoughts or feelings. It takes longer for Quadrant 2 to reduce in size because usually there are good psychological reasons for blinding yourselves to certain things you feel or do. Quadrant 4 changes somewhat during a learning laboratory, but you can assume that such changes occur even more slowly than shifts in Quadrant 2. At any rate, Quadrant 4 is undoubtedly far larger and more influential in your relationships than the hypothetical sketch illustrates (see Figure 14).

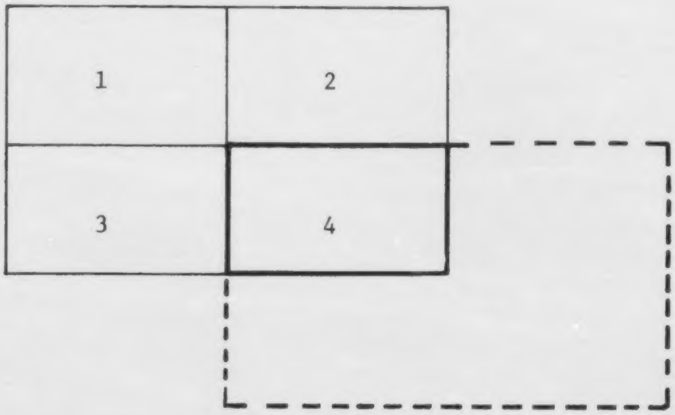


Figure 14. The Relative Size of Quadrant 4

The Johari Window may be applied to intergroup relations. Quadrant 1 then signifies behavior and motivation known to the group and also known to other groups. Qudrant 2 signifies an area of behavior (e.g., a cult or prejudice) unknown to the groups but known to other groups. Quadrant 3, the hidden area, refers to things a group knows about itself but keeps from other groups. Quadrant 4, the unknown area refers to aspects of its own behavior unknown to the group and unknown to other groups. Later, as the group learns new things about itself, there is a shift from Quadrant 4 to one of the other quadrants.

Principles of Change

1. A change in any one quadrant will affect all other quadrants.

2. It takes energy to hide, deny or be blind to behavior involved in interaction.

3. Threat tends to decrease awareness. Mutual trust tends to increase awareness.

4. Forced awareness (exposure) is undesirable and usually ineffective.

5. Interpersonal learning means a change has taken place so that Quadrant 1 is now larger and one or more of the other quadrants is now smaller.

6. Working with others is facilitated by a large enough area of free activity. A larger Quadrant 1 means more of the resources and skills in the membership can be applied to a task.

7. The smaller the first quadrant, the poorer the communication.

8. There is universal curiosity about the unknown area, but this is held in check by custom, social training and diverse fears.

9. Sensitivity means appreciating the covert aspects of behavior, in Quadrant 2, 3 and 4, and respecting the desire of others to keep these aspects covert.

10. Learning about group processes as they are being experienced helps to increase awareness (enlarge Quadrant 1) for the group as a whole as well as for individual members.

11. The value system of a group and its membership may be noted in the way unknowns in the life of the group are confronted.

12. A centipede may be perfectly happy without awareness, but after all, it restricts itself to crawling under rocks.

Having familiarized themselves with this outline, group members might learn to use it to help themselves to a clearer understanding of the significant events in a group. Furthermore, the outline is sufficiently broad and loose to have heuristic value in stimulating new approaches to the identification and elaboration of problems.

Luft, Joseph, and H. Ingham. "The Johari Window: A Graphic Model of Interpersonal Awareness," in *Proceedings of the Western Training Laboratory in Group Development.* Los Angeles, California: University of California, Los Angeles, Extension Office, August 1955.

Procedure 18: The Giving and Receiving of Feedback About Consultant Self

The series of activities that follow are intended to increase your awareness of your consultant self. These activities should build on and contribute to the work you did in the last activity. At the end of this procedure, you may have some additional information that will make you want to revise your list of points for growth.

There are four parts to this procedure. Most of them will be done in the LG.

Part I: Individual Work--Filling in Quadrants 30 min.

A. Review and reflect upon the work you did in Procedure 17.

1. What can you say about yourself as a consultant that you believe the others in your LG also know?

2. What can you say about yourself as a consultant that you believe members of your LG do not know and that you would like to share?

B. Fill in Quadrants 1 and 3 on the Johari Window. Note the dividing lines are dotted. After you have made your lists, provide the solid line between Quadrant 1 and Quadrant 3 in the appropriate place.

	Known to Self	Unknown to Self	
Known to Others	Quadrant 1 (Open)	Quadrant 2 (Blind)	
Unknown to Others	Quadrant 3 (Hidden)	Quadrant 4 (Unknown)	Unknown

Part II: Learning Group--Making Additions to Windows 30 min.

A. Be sure your name is on your Johari Window. Members of your LG need to know whose window they are considering.

B. Pass your copy of your window to the person on your left. Each person will now have the Johari Window of the person on their right.

C. Reflect about the person whose window you now hold. If you think you know something you believe the person does not know and if you want to share it, write it in Quadrant 2.

D. When you have written in Quadrant 2 pass the window to your left.

E. Repeat this process until everyone in the LG has had the opportunity to contribute to Quadrant 2 of each person in the group.

Part III: Learning Group--Giving and Receiving Feedback 2 hours

A. Review your Johari Window, especially what has been written in Quadrant 2.

1. What do you want to know about some or all of the statements?

2. Do you agree or disagree with some or all of the statements?

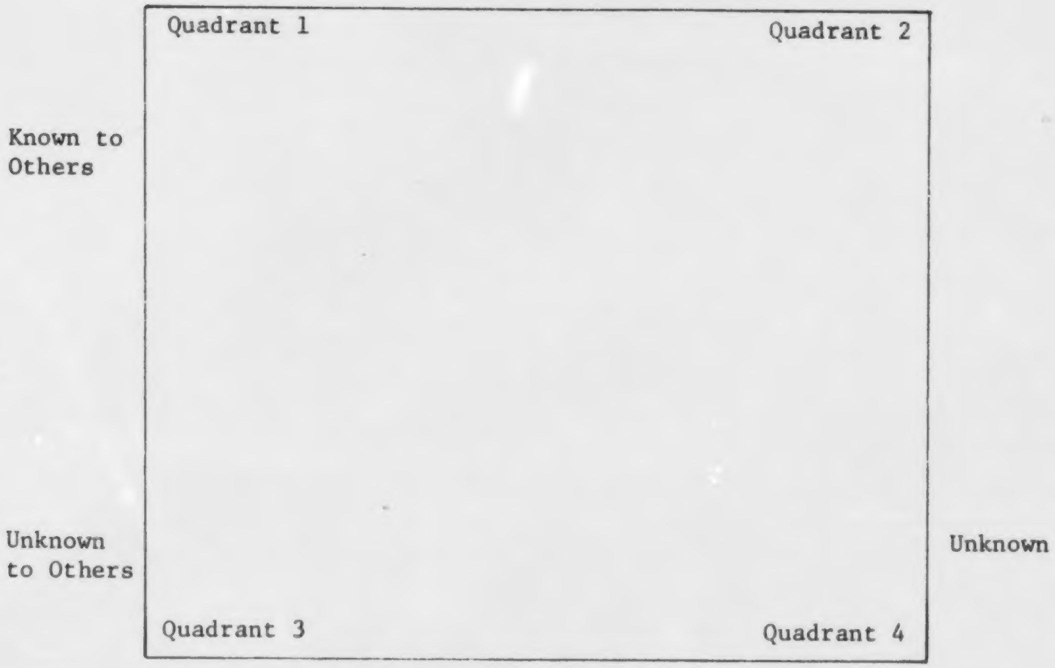
3. How many of the statements would you now add to your open quadrant (Quadrant 1)?

B. Conduct a session of giving and receiving feedback. Give everyone a chance to ask for feedback. Continue the discussion until everyone in the LG has had the opportunity to be heard.

Part IV: Individual Work--Reviewing and Revising Windows 30 min.

A. Review your Johari Window and determine how it has changed.

B. Fill in a new Johari Window, suiting the quadrant lines to your new awareness of your self as consultant.


Quadrant 1
Quadrant 2
Known to Others
Unknown to Others
Unknown
Quadrant 3
Quadrant 4

C. Review your list of points for growth in Procedure 17 and make any revisions that now seem appropriate.

Activity 11: Creating Models

Purpose: To enable trainees to gain awareness of the process of model building and of the usefulness of models in planning and implementing organizational change efforts.

Objectives: Given the materials listed below, trainees will study the resources, select models that may explain part of their OD work and discuss their selections and application of models to their own OD work.

Given a set of instructions for LG work, trainees will attempt to create a graphic model depicting processes that bridge the gaps between data, diagnosis and intervention. The models will be displayed and discussed in a general session.

Time	Agenda	Materials
5 min.	1. Introduce activity	All, Creating Models
10 min.	2. Introduce Procedure 19	P19, Creation of a Model R18, Models and Their Functions R19, The Power of Abstraction--Model Building as a Way of Life R20, A Collection of Models R21, PETC-III Models
60 min.	3. Study models and their functions	P19, (Part I) R18 R19 R20 R21
90 min.	4. Construct a model for linking data to diagnosis to intervention	P19, (Part II)
30 min.	5. Describe model and share experience	P19, (Part III)

Procedure 19: Creation of a Model

Part I: Training Unit Work--Studying Models and Preparing a Report

60 min.

A. Review Resource 18, Models and Their Functions, and Resource 19, The Power of Abstraction--Model Building as a Way of Life.

B. Study Resource 20, A Collection of Models. (Notice Resource 21, PETC-III Models.)

1. Quickly scan all the models to see which ones catch your attention and interest.

2. Return to the models which caught your interest and examine them in detail.

3. Decide which model(s) or model elements provide explanations for the way you do OD work. Select one or more.

C. Prepare to report in an LG meeting.

1. In what ways does the model or model parts explain change efforts you are attempting in your organization?

2. Does a model (or models) provide a means for depicting your own view of OD consulting right now?

3. In what ways would you change a model to provide a representation of your change efforts?

Part II: Learning Group Work--Constructing a Model

90 min.

A. Take turns sharing observations, insights and findings from the previous exercise.

B. Share your answers to the questions in Item 3 above.

C. One of the critical issues in consultation is to helpfully and productively link the three dimensions of data, diagnosis and intervention.

Some consultants can do team building well and prefer it as an intervention. They work with a new client to collect and diagnose data and then they conduct team building activities regardless of what the data and diagnosis say.

D. What do you do in OD work to link data to diagnosis? To link diagnosis to intervention? How do you move from one to the other and still produce a cohesive, consistent theory?

Assignment

Work as an LG. Construct a model (graphic if possible).

Represent on the model what you do as consultants--or what you think should take place in connecting:

Data ⟶ to diagnosis ⟶ to intervention

Produce the model on newsprint.

Part III: General Session--Describing Models

30 min.

Display your model in a general session.

A. Describe your experience in developing your model. Report your feelings about and reactions to it.

B. Describe your model.

Resource 18: Models and Their Functions[1]

People visualize what will happen and try to cope with what they visualize. They relate their present sense experiences to their prior visualizations and, in this way, improve their prognosis for the future. In other words, human behavior is not only dependent upon knowing what is happening now but also upon having in mind a representation of what is going to happen later. Such a representation is not merely a statement of what *is* at any given moment, but a continuous process that is continuously corrected by feedback. Thus Beer (1966) states:

> Let us call this mental representation of the world that is not direct perception of the world a *model* of the world. The term is appropriate; models of things may be more or less accurate, and thereby better or worse able to predict the behavior of what is modeled. Just because they are predictive, models are open to experiementation as a means of evaluating the likely performance of the thing modeled.

In other words, any model is valuable when it improves our understanding of obscure behavioral characteristics more than would be possible by observing the real system. A model can more quickly provide knowledge of conditions not observable in real life.

Models may be classified in many ways. A typical classification is to see them as either physical or abstract. Physical models are usually replicas (often on a reduced scale) of objects under study. An architectural model is an example of a static, physical model that helps us visualize spatial relationships. A dynamic physical model such as a wind tunnel helps determine aerodynamic characteristics. Abstract models are substitutes in our thinking for the system they represent. They use symbols such as written language or thought process rather than physical replicas. These mental or verbal descriptions, which may be unreal, can form a model of an individual, a group or an organization and its processes.

---

[1] Adapted from Lippitt, Gordon L. *Visualizing Change: Model Building and the Change Process*. Fairfax, Virginia: NTL Learning Resources Corporation, Inc., 1973, pages 29-36.

A further breakdown of models (within these two classifications) is by use of symbolism. Thus mathematical models, which are a special kind of abstract model, state their relationships in mathematical or engineering terms; systems models arise from system analysis problems; and theoretical models attempt to represent theories or explain general observations.

Model building refers to the process of putting together symbols according to certain rules in order to form a structure that corresponds to a real-world system under study. Even though models have been used for many years, most model building remains difficult. A real-world system is too complex to be modeled in exact detail, so some factors are ignored and others are abstracted to make up an idealized version of the system. This process of abstraction is usually an iterative one requiring experience, intuition and judgment about the system being analyzed and skill in model construction.

Perhaps the clearest and most easily understood explanation of model building is from Borko (1967):

> The construction of a model, as a scientific procedure, is founded on the belief that there can be order and reason in the mind, if not in the real world. The construction of a model is closely related to the steps used in the scientific method. To explain these ideas, we will consider three worlds that may be likened to levels of language; real world, deductive world, and inductive world. The real world is regarded as consisting

> of physical entities. The deductive world is regarded as consisting of symbols and symbol manipulation.
>
> An example of modeling is given by a model of a natural language in which the set of original data is a suitably large corpus, the formal model is a set of grammar rules, the parameter determination is an assignment of grammatical classes to words, the symbol manipulation is the derivation of strings, the set of test data is a fresh corpus, and the evaluation is an informal measure of the adequacy of the grammar.

Suffice it to say, modeling has the inherent capability of cutting across or integrating the inductive/deductive processes and the existential reality being confronted.

While this generalized approach to the understanding of modeling may present a classification that is helpful, it may be more relevant to understand the different kinds of models and to indicate the particular kinds of models to be discussed in the pages that follow.

While a model is always to some degree an abstraction of a real-life thing or process, there are a number of ways to illustrate this abstraction. A model is usually a representation of objects, events, processes or systems. When we examine the models in the change process, we are thinking of the manipulation of the model to test the impact of a proposed plan or strategy for change on the microsystem or macrosystem involved. Kast and Rosenzweig (1974) have classified models into three general groups:

> An *iconic* model pictorially or visually represents certain aspects of a system (as does a photograph or a model airplane)
>
> An *analogue* model employs one set of properties to represent some other set of properties which the system being studied possesses (e.g., for certain purposes, the flow of water through pipes may be taken as an analogue of the "flow" of electricity through wires)

A *symbolic* model uses symbols to designate properties of the system under study (by means of a mathematical equation or set of such equations)

Such differentiation may be helpful, but specific differentiation by categories of use in everyday life might be more helpful:

Graphic Models

Graphic models are usually two- or three-dimensional diagrams such as those used to portray stock market trends, the number of crimes in a particular city over time or the relationship between temperature and humidity.

Pictorial Models

This type of model attempts to transmit an idea by illustrating a real-life situation. You have probably seen cartoons in offices or factories that demonstrate pictorially what might result from unsafe practices.

Schematic Models

Examples of schematic models are: an organization chart depicting the authority relationships within an organization, a flow chart showing the movement of information and a PERT chart demonstrating time phasing.

Mathematical Models

These models represent perhaps the greatest abstraction from real-world situations. Mathematical symbols are used to depict factors in the real world. These models are useful in studying the interrelationships of situations that can be quantitatively described, as in the physical sciences.

Simulation Models

In this kind of model the approximation of real-life situations is frequently three dimensional and not very abstract. The Link Trainer, used during World War II to help train pilots by simulation of actual flight conditions, is an example of a simulation model.

In the complexities of the change process, modeling is seen as a way to help analyze the compelling forces, to synthesize the data presented and to provide opportunities for those involved to understand the nature of the contemplated change. It provides a way to examine the experimentation involved in manipulating the effective forces in the situation. Such examination makes change possible. The functions of the model in this context are listed below.

Representation

A model can be used to represent a complex situation and to provide a means of making changes in it. It may also be used to uncover new relationships between variables.

Guidance

A model inherently provides rules or guidelines for dealing with situational variables. It can illustrate manipulative constraints and the interdependence of variables.

Interpretation

A model can be used to interpret and test theory and to establish a framework for experimentation and discussion.

Visualization

A model can be used by a researcher, change agent or teacher to visualize or illustrate change processes and activities.

Prediction

When experimentation is impossible or impractical, a model can be used to predict the outcome of given events or changes. Its value in this function will be determined by the extent to which the interrelationships are accurately delineated and understood.

Recreation

Model building can provide fun and relaxation for a change practitioner. Some people refer to it as "professional doodling," but it can be both meaningful and enjoyable.

Communication

Perhaps the reason communication is not usually included as an important function is because it is taken for granted. But taking it for granted instead of taking it into consideration can result in an ineffective model. A model should execute only one-way communication. There are three requisite components for one-way communication: the source (model builder), the channel (the model) and the receiver (the one directly or indirectly using the model). To be most helpful to the receiver the message of the model should be readily understandable. It should convey the message to the receiver exactly as the model-builder intended.

Models were first used to describe events, phenomena and relationships. Models were next used to explain situations and concepts. Models have been used in planned change to predict events and reactions. More recently, prescriptive models have been used to anticipate events and their consequences. Futurists and others interested in the dynamics of change find it helpful to prescribe those actions necessary for coping with the assessment of consequences. At all levels, model building is a most helpful technological tool.

References

Beer, Stafford. *Decision and Control: The Meaning of Operational Research and Management Cybernetics.* New York, New York: John Wiley and Sons, 1966, p. 100.

Borko, Harold, editor. *Automated Language Processing.* New York, New York: John Wiley and Sons, Inc., 1967, pp. 39, 40.

Kast, Fremont E., and James E. Rosenzweig. *Organization and Management: A Systems Approach.* Second edition. New York, New York: McGraw-Hill Book Company, 1974, p. 392.

Resource 19: The Power of Abstraction--Model Building as a Way of Life[1]

Ours is an age of reconstruction: to work in any field today is to rebuild. The age of anxiety is behind us, and we have learned its lessons well: the universe is meaningless only as long as you have nothing you intend to do in it. If, however, you intend to play a role in inventing the twenty-first century, it will be your task to conceive and test the models upon which this future world will be constructed.

Such sweeping mandates are easily phrased. In actual practice, the job of attempting to design tomorrow's world is staggeringly complex, partly because the tools of human thinking are not yet really understood. The late physicist P. W. Bridgman said that the hallmark of the educated man is his realization of the limitations of the human mind and therefore his consciousness of the necessity of formulating "laws of mental dynamics" analogous to the laws of thermodynamics in the physical universe.

One such law of mental dynamics might be stated thus: the mind can create order out of disorder only in terms of the freshness and novelty of its hypothetical models of reality. Or, the law might be otherwise phrased: our power over our environment and thus over our future comes finally from our utmost abstractions. For it has become clear that we change the future by inventing hypothetical models of possible worlds. The models we construct serve as beacon lights by which we steer our way through the turbulent waters of social and technological change toward the horizon of the future we desire.

---

[1] Cozart, William. Stephen F. Austin State University: Nacogdoches, Texas. Reprinted by permission.

It is, of course, the mathematician who has made humanity most vividly aware of the way in which conceptual models steer the course of our evolution. Mathematics, in Whitehead's classic definition, "is thought moving in the sphere of complete abstraction from any particular instance of what it is talking about." The very point of mathematics, Whitehead insisted, is always to get rid of the particular instance and attain the most complete abstraction possible. Thus, the person who in the dim morning of prehistory first arrived at the concept "seven" as opposed to concepts of seven sheep, seven apples or seven days, marked a great breakthrough in the history of human thought. For he had broken his bondage to the immediate situation (of specific sheep, apples, and days) and was able now to achieve an interior distance from his surrounding and manipulate his environment with greater freedom. As we evolved, our mathematics became more and more abstract. We plunged deeper and deeper into the recesses of the human mind, formulating abstractions that were even more remote from external "nature." Many of these formulations, such as the nineteenth century non-Euclidean geometries, even appeared to deny our sense impressions of "nature" altogether.

But the startling paradox has emerged that the more abstract and detached our mathematical conceptions have become, the more relevant and useful they have been in building our basic science and technology. Because our abstractions embody the essence of literally hundreds of particular situations, our utmost extractions have been our most valuable weapons in controlling and comprehending the world of concrete facts. Clearly, any knowledge acquired about these abstractions is infinitely more powerful than knowledge acquired about any one particular situation, just as any fact applicable to all human beings is more powerful than a fact about Chris Jones.

How are these great abstractions derived? Scientists and mathematicians answer with one word: intuition. Intuition in science means the ability to create a possible imaginary world, plus the ability to look then at the real world and see if there are any points of contact. Intuitive scientists make mathematical models. Then they examine their models to see if they are beautiful, elegant logically coherent and internally consistent. At first they are concerned only with building up coherent, self-contained worlds; only after these worlds are finished do they test them to see if they are relevant to the world in which people actually live. (Pure mathematicians, of course, are never really concerned about the relevance of their models. Models are their own excuse for being. Of course, scientists sometimes find overwhelmingly relevant uses for models, as Einstein did with Riemann's non-Euclidean geometry.

The significance of all these facts is that creative scientists are making us aware that all people--not just scientists--who wish to transform their environment must operate as if they were, say, intuitive physicists, that is, they must construct models of hypothetical worlds in the light of which they comprehend and control the actual world. Everyday models are not necessarily--or even probably--totally mathematical (as are models of society constructed by realistic novelists).

They are sometimes a mixture of mathematics and words. More often, they are mental configurations of abstract patterns, geometric figures, specific images of objects and vague, suggestive shapes. What is important is that these strange mental operations are now _the_ controlling force among people concerned with shaping our evolution.

Just picture to yourself the vast spectrum of people who are using models to transform the world we live in: economists with their model of a society of abundance; anthropologists with their model of changing tribal patterns in underdeveloped countries; civil rights workers with their model of the power structure in Southern rural communities; city planners with their model of the urban racial situation; P.T.A. presidents with their model of the local experimental grammar school. There are innumerable kinds of molels. But all models have two things in common: they embody the abstract _essence_ of the problems they address and they are constructed sequentially in the four basic steps listed below.

1. First, a conceptual model of some kind of possible world is postulated
2. Then predictions based on this model are made
3. Next, these predictions are tested
4. Finally, as a result of testing, the model is either revised or discarded

Imagine a specific example of model building in a very practical situation: suppose you have been asked to lead an adult discussion group for ten weeks on the topic, "Renewing the Human City." You are going to be, in effect, a classroom teacher for this informal course of ten 2-hour sessions. Your first job is to construct a conceptual model of the course--not just a model of the curriculum, but your image of the total learning situation (your decisions on where to meet, how much lecturing and how much group discussion you want, secondary audio-visual aids, etc.) This model will not fall into your head out of the clear blue. It will be the result of days--maybe weeks--of brooding. But after a period of deep concentration on what the course might be, your model may come to you in a flash--as the shape of a great musical theme comes to a composer.

Your next step is equally important: to make hypothetical predictions (to yourself) about how the material and learning situation are likely to work. Will you be able to forestall more intellectual chitchat? Will your chosen emphases awaken concern regarding the city and its future? Do you have material broad and diversified enough for ten meaningful sessions? Will your course lead to some kind of political or social action? Are you ready to handle this eventually?

Now you are ready to test your model at your first discussion group meeting. The first session is full of surprises. You discover that you have two architects in the group; consequently, you will need to add much more weight to your curriculum in the area of urban aesthetics. You have three people who are already extremely well read in the area of the evolution of the city in history; you will need to decide how to make use of this unexpected resource. You feel that in the first session your lecture presentation has been too visual; you will need to involve more fully the total sensorium of your group. Finally, at the end of the session you vaguely felt that something was very wrong. All the group members assured you that the evening had been "exciting," but you sensed there was something deadly conventional about their enthusiasm--the course was merely what they had expected. Group members did not make any real discoveries. You will need to recoup your losses next time and really startle these people in order to keep your course from turning into a mere exercise in dilettantism.

So, on the basis of this first "test" it is clear that your model will need major revision. The model looked good on paper, but in practice it lacked urgency, depth and the power to really involve your group. How can you revise it? You might conduct your discussion next time as if your group were a top-level board of city planners making decisions involving millions of dollars. You might use some other type of role playing to force them to create their own vision of what the city should be and make concrete decisions regarding its renewal. While you are revising your model, you read a tremendous new article on the city by the architect Doxiadis. You must, you decide, include this article in the next session. And so on and so forth. Always in your mind is the conviction that your main job as teacher is to challenge this group to mix themselves with the whole adventure of building a space-age city. And you discover, as a teacher, that the old concept of lesson plans simply won't work for the electronic age. The members of your discussion group are not like the little pictures in a Dickensian classroom waiting eagerly to be filled with facts, facts, facts. They are whole people hungry for involvement in a changing world, hungry for roles and an opportunity to invest their energy in redesigning the earth. Your course can help them only if it is shaped in the light of a model of the utmost novelty.

The kind of model building just described was, of course, a very simple example. But it is not unlike the process of model building needed to envision the future for a poverty-stricken area, for the role of women, for the mission of the family, for a course of civic action, for a strategy for electing someone to a post in local government or for constructing the future of someone's personal destiny. In all of these examples, the power over the immediate situation comes from an abstract model that grasps its essence and enables the situation to be envisioned, revisioned, tested, redefined and ultimately changed.

One word of warning must accompany any look at the role of model building in today's world. It is becoming clear that no conceptual model, however inventive and internally consistent, can guarantee relevance to the actual course of historic change. Just as no model in the sciences can guarantee its own relevance to flux in the natural world. There is nothing permanent or eternal about models. They must always be in the process of revision and must often (however reluctantly) be discarded. They give no absolute certainty or security. But, even so, we must continue to use models because they offer the best means we have of freeing ourselves from the status quo and of envisioning the possibility of a new world. It is now an inescapable fact that to live in our ever-changing society, we must have the courage of our constructs and the course of our never-static models in process. And we must also have the courage to let our most cherished models go when they have outlived their relevance and be willing to face the painful process of changing our models and beginning anew. For we now know that by changing our models, we change our reality.

Resource 20: A Collection of Models

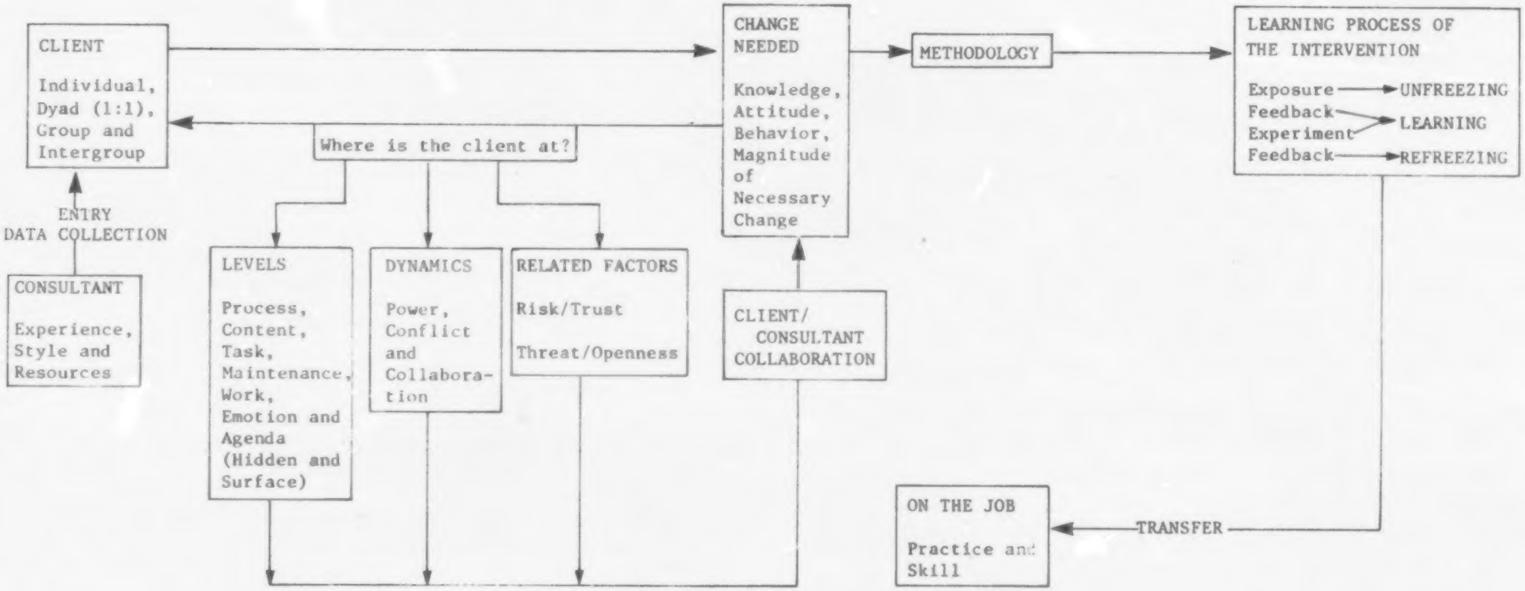

CLIENT
Individual,
Dyad (1:1),
Group and
Intergroup
CHANGE NEEDED
Knowledge,
Attitude,
Behavior,
Magnitude of Necessary Change
METHODOLOGY
LEARNING PROCESS OF THE INTERVENTION
Exposure → UNFREEZING
Feedback → LEARNING
Experiment → LEARNING
Feedback → REFREEZING
Where is the client at?
ENTRY
DATA COLLECTION
CONSULTANT
Experience, Style and Resources
LEVELS
Process, Content, Task, Maintenance, Work, Emotion and Agenda (Hidden and Surface)
DYNAMICS
Power, Conflict and Collaboration
RELATED FACTORS
Risk/Trust
Threat/Openness
CLIENT/ CONSULTANT COLLABORATION
ON THE JOB
Practice and Skill
TRANSFER

Figure 15. Diagnosing Change Needs of a Client[1]

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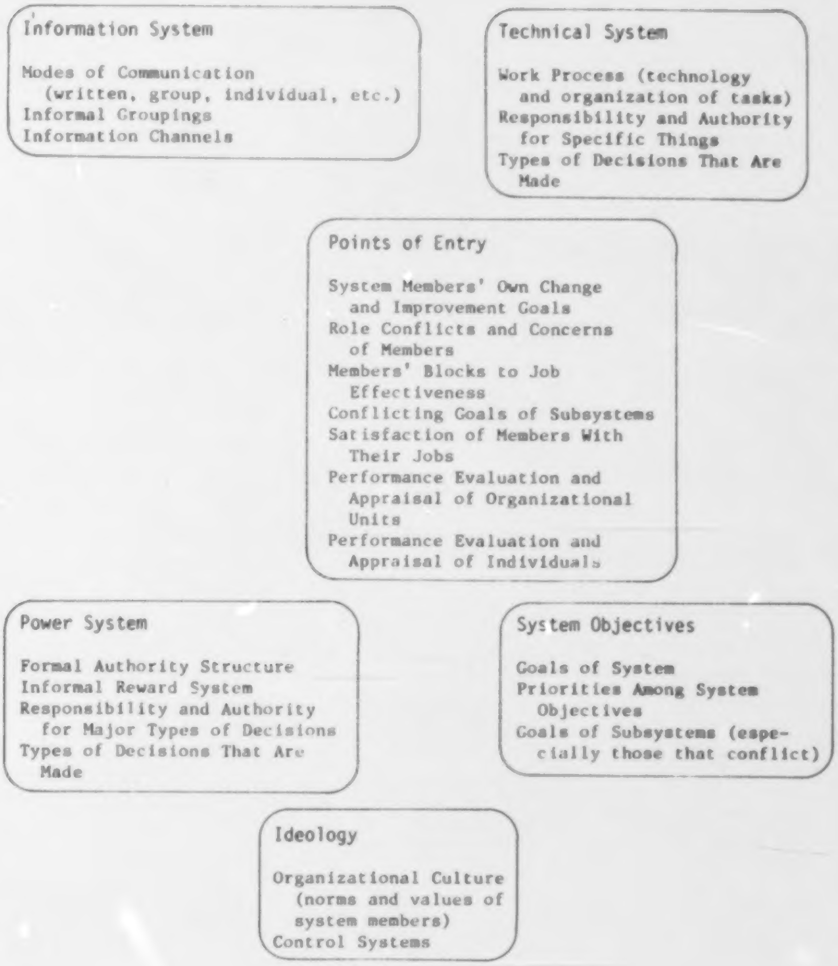
[1] From the Take Home Packet of the NTL Consulting Skills Workshop, Bethel, Maine, Summer 1969. Arlington, Virginia: NTL Institute for Applied Behavioral Science.



Information System

Modes of Communication (written, group, individual, etc.)
Informal Groupings
Information Channels

Technical System

Work Process (technology and organization of tasks)
Responsibility and Authority for Specific Things
Types of Decisions That Are Made

Points of Entry

System Members' Own Change and Improvement Goals
Role Conflicts and Concerns of Members
Members' Blocks to Job Effectiveness
Conflicting Goals of Subsystems
Satisfaction of Members With Their Jobs
Performance Evaluation and Appraisal of Organizational Units
Performance Evaluation and Appraisal of Individuals

Power System

Formal Authority Structure
Informal Reward System
Responsibility and Authority for Major Types of Decisions
Types of Decisions That Are Made

System Objectives

Goals of System
Priorities Among System Objectives
Goals of Subsystems (especially those that conflict)

Ideology

Organizational Culture (norms and values of system members)
Control Systems

Figure 16. Harrison's Model for Organizational Diagnosis: Categories and Subcategories[1,2]

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[1] Reproduced by special permission from *The Journal of Applied Behavioral Science*, "An Interview with Roger Harrison," by Noel Tichy. 9 (6): 707, Copyright NTL Institute, 1973.

[2] Harrison's categories were derived from his response to a portion of the Hornstein and Tichy "Change Agent Survey" questionnaire, which instructed respondents to: (a) indicate the information (from a list including such things as formal reward structure, goals, control systems and individual satisfactions) they would seek in order to diagnose and understand an organization and (b) arrange the items into categories.

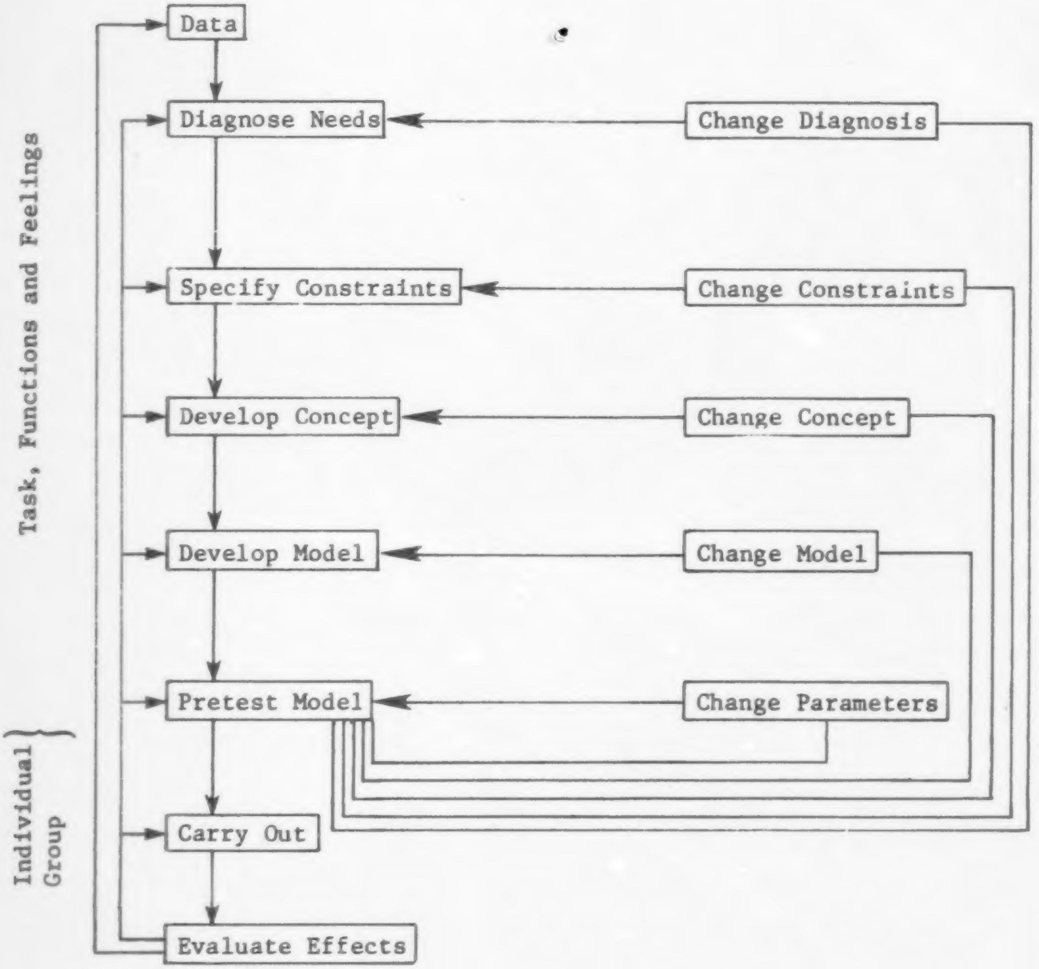
Data
Diagnose Needs
Change Diagnosis
Specify Constraints
Change Constraints
Develop Concept
Change Concept
Develop Model
Change Model
Pretest Model
Change Parameters
Carry Out
Evaluate Effects
Task, Functions and Feelings
Individual
Group

Figure 17. Design Process[1]

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[1] From interview with Matthew Miles, June 1974, Portland, Oregon.

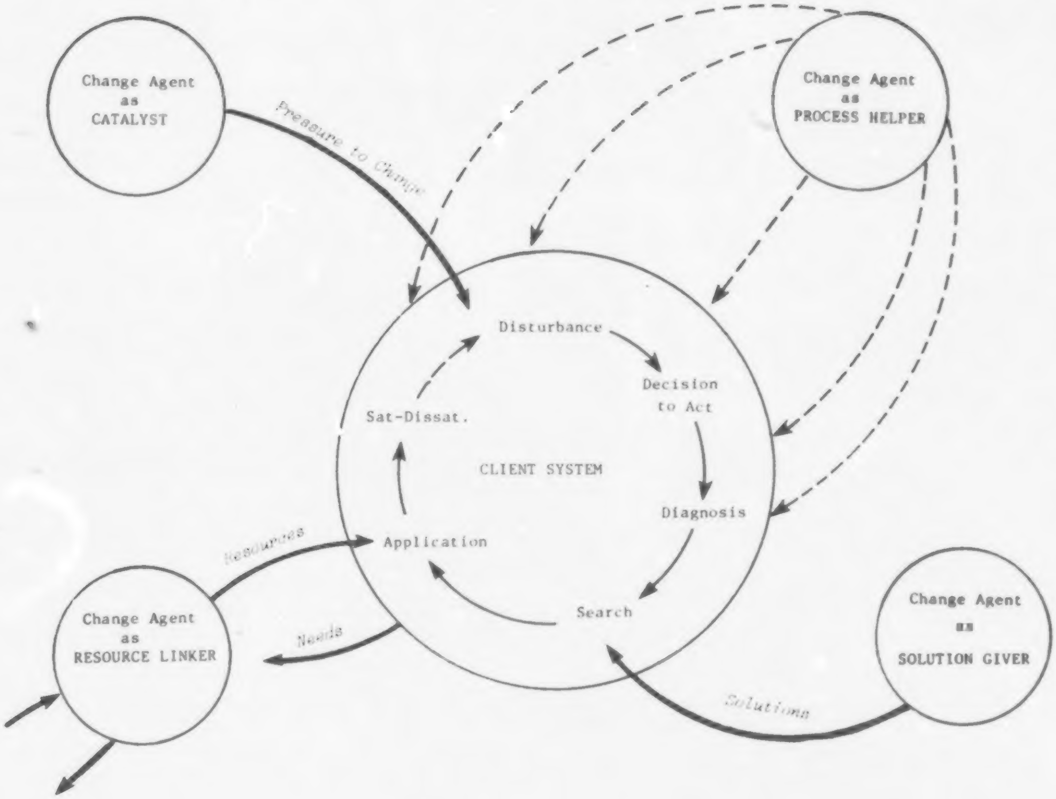
Change Agent
as
CATALYST
Pressure to Change
Change Agent
as
PROCESS HELPER
Disturbance
Decision
to Act
Sat-Dissat.
CLIENT SYSTEM
Diagnosis
Application
Search
Resources
Needs
Change Agent
as
RESOURCE LINKER
Change Agent
as
SOLUTION GIVER
Solutions

Figure 18. Four Ways to Be a Change Agent[1]

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[1] From Havelock, Ronald G. *The Change Agent's Guide to Innovation in Education.* Englewood Cliffs, New Jersey: Educational Technology Publications, 1973, page 8.

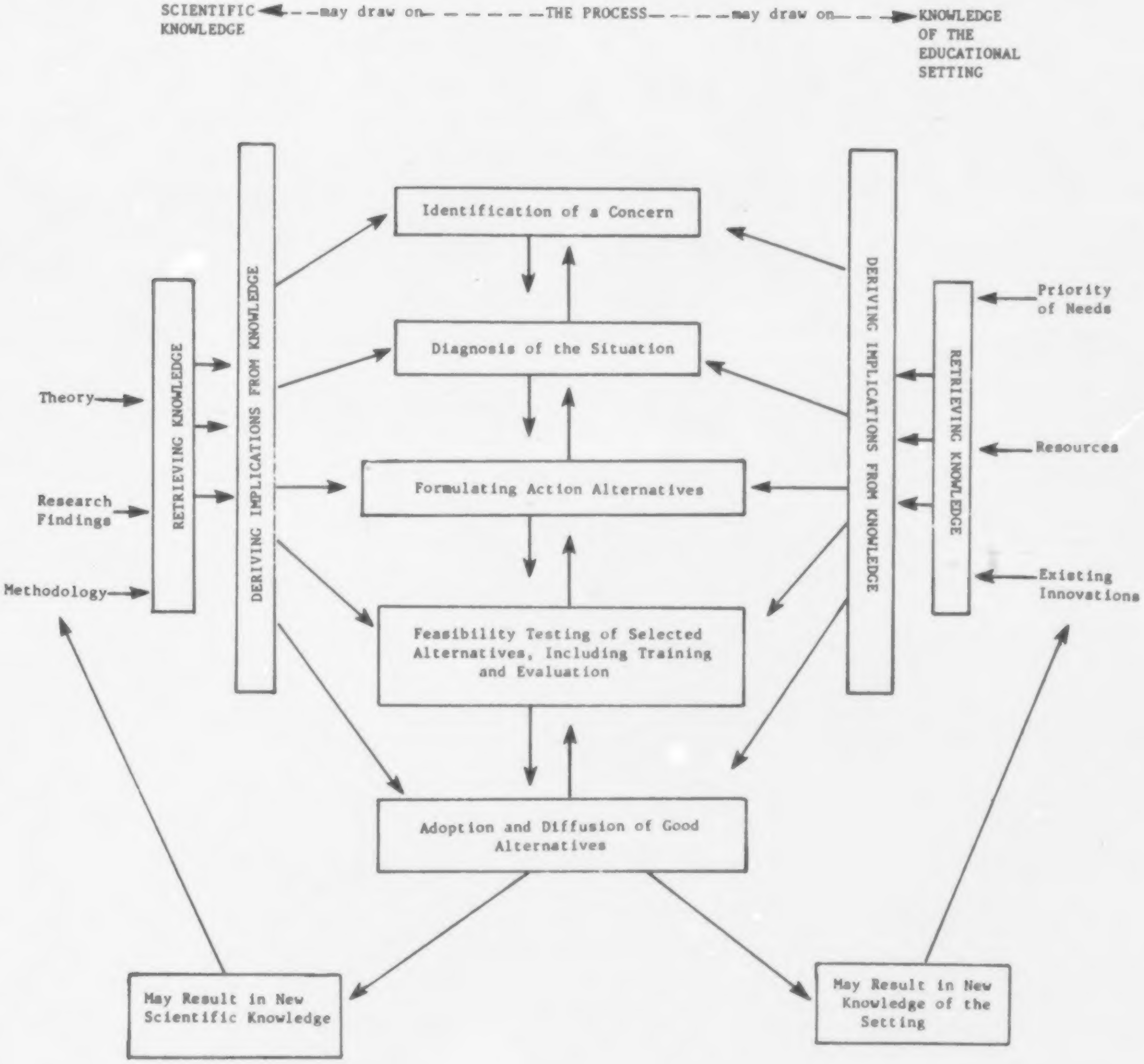
SCIENTIFIC KNOWLEDGE
may draw on
THE PROCESS
may draw on
KNOWLEDGE OF THE EDUCATIONAL SETTING
Theory
Research Findings
Methodology
RETRIEVING KNOWLEDGE
DERIVING IMPLICATIONS FROM KNOWLEDGE
Identification of a Concern
Diagnosis of the Situation
Formulating Action Alternatives
Feasibility Testing of Selected Alternatives, Including Training and Evaluation
Adoption and Diffusion of Good Alternatives
DERIVING IMPLICATIONS FROM KNOWLEDGE
RETRIEVING KNOWLEDGE
Priority of Needs
Resources
Existing Innovations
May Result in New Scientific Knowledge
May Result in New Knowledge of the Setting

Figure 19. Research Utilizing Problem Solving Model[1]

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[1] Fron Jung, Charles, René Pino and Ruth Emory. *RUPS: Research Utilizing Problem Solving, Administrator's Version, Participant Materials.* Portland, Oregon: Northwest Regional Educational Laboratory, May 1973, page 77.

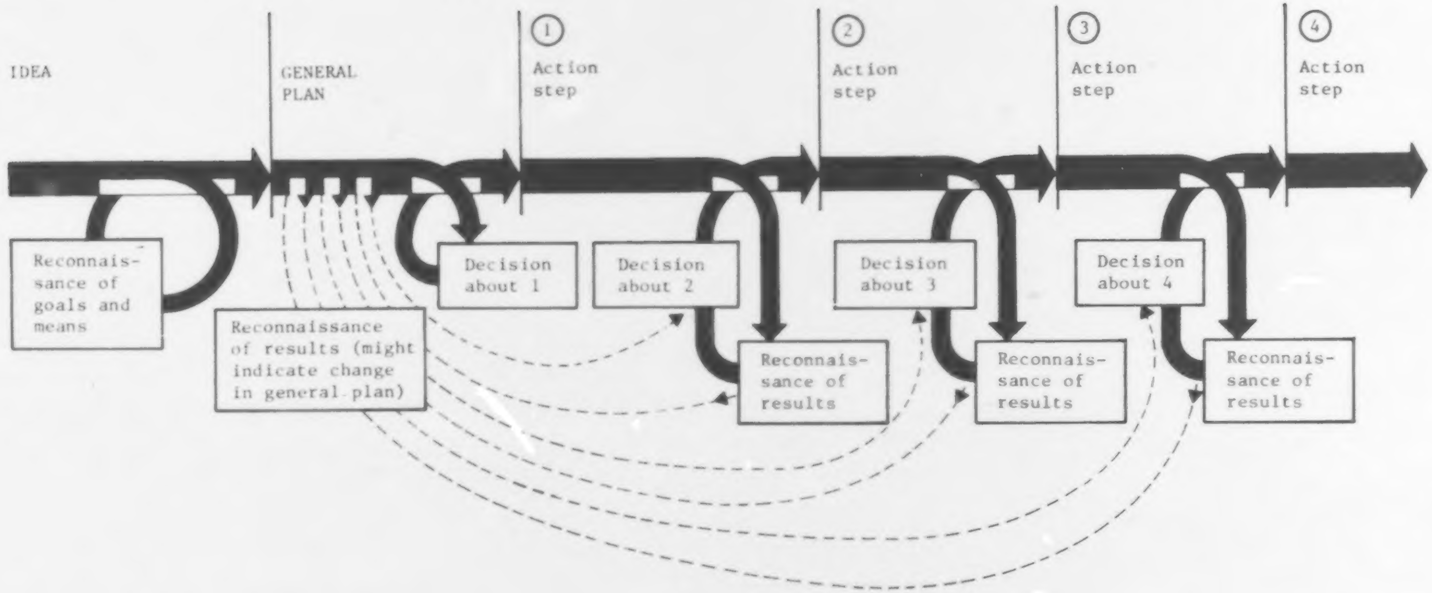
IDEA
GENERAL PLAN
① Action step
② Action step
③ Action step
④ Action step
Reconnaissance of goals and means
Reconnaissance of results (might indicate change in general plan)
Decision about 1
Decision about 2
Decision about 3
Decision about 4
Reconnaissance of results
Reconnaissance of results
Reconnaissance of results

Figure 20. Planning, Fact Finding and Execution[1]

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[1] Reprinted from Lewin, Kurt. "Group Decision and Social Change," in *Readings in Social Psychology*. Edited by Theodore M. Newcomb and Eugene L. Hartley. © 1947 by Holt, Rinehart and Winston, Inc. Reprinted by permission of Holt, Rinehart and Winston.

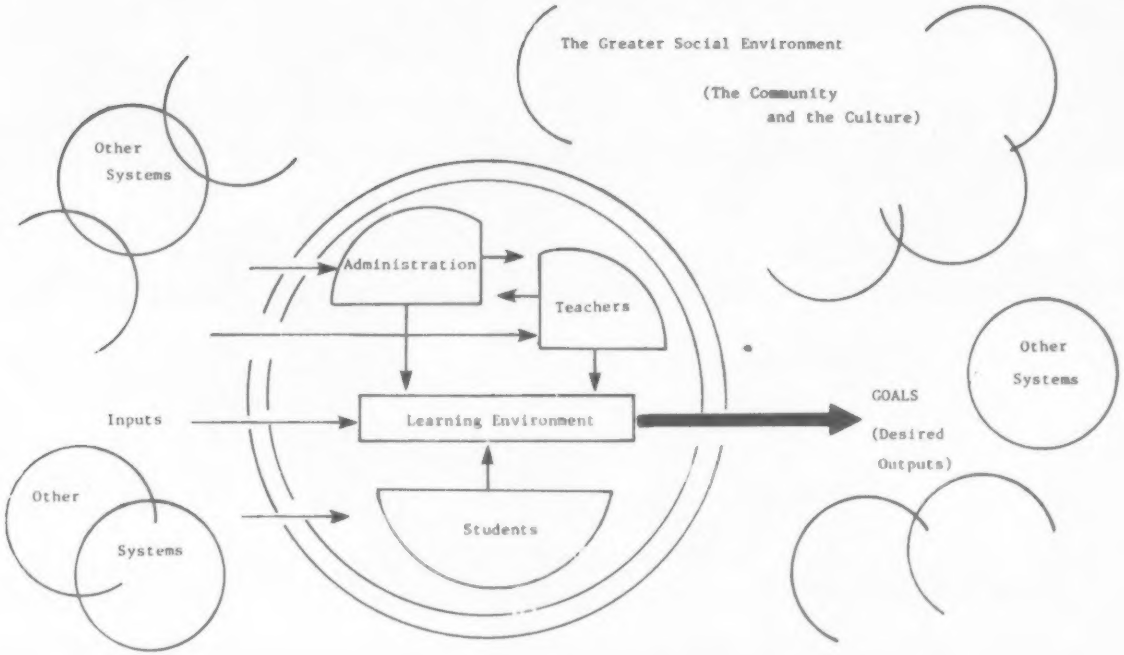
The Greater Social Environment
(The Community
and the Culture)
Other
Systems
Administration
Teachers
Inputs
Learning Environment
Students
GOALS
(Desired
Outputs)
Other
Systems
Other
Systems

Figure 21. Major Elements to Be Considered in A Systematic Diagnosis[1]

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[1] From Havelock, Ronald G. *The Change Agent's Guide to Innovation in Education*. Englewood Cliffs, New Jersey: Educational Technology Publications, 1973, page 67.

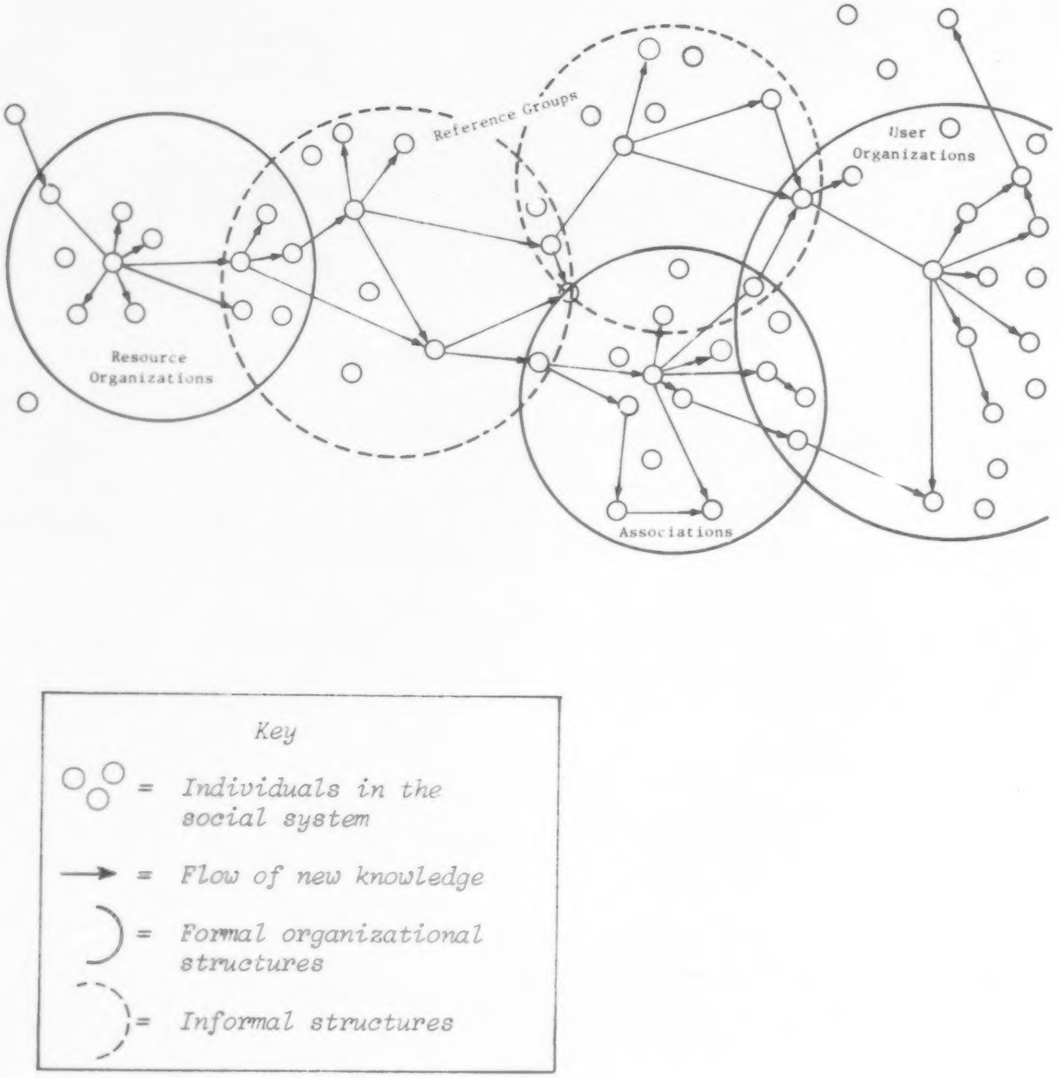
Reference Groups
User Organizations
Resource Organizations
Associations
Key
○○○ = *Individuals in the social system*
→ = *Flow of new knowledge*
) = *Formal organizational structures*
) = *Informal structures*

Figure 22. The Social Interaction Perspective[1]

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[1] From Havelock, Ronald G. *The Change Agent's Guide to Innovation in Education*. Englewood Cliffs, New Jersey: Educational Technology Publications, 1973, page 159.

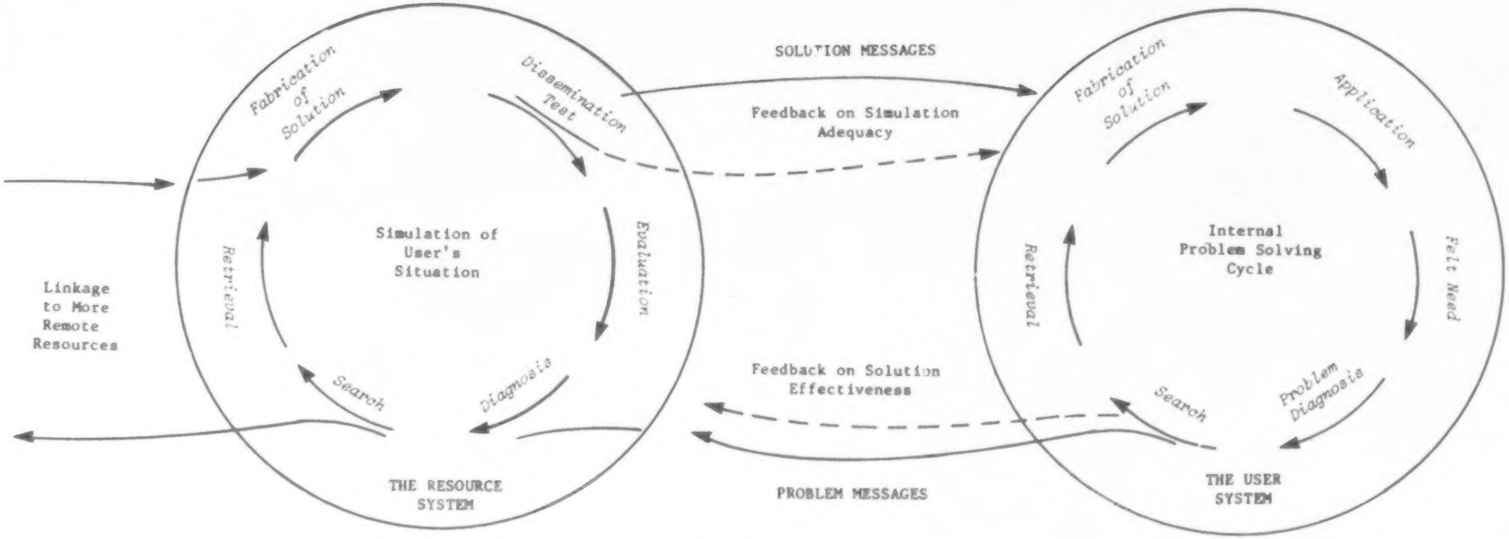
SOLUTION MESSAGES
Feedback on Simulation Adequacy
Fabrication of Solution
Dissemination Test
Evaluation
Diagnosis
Search
Retrieval
Simulation of User's Situation
THE RESOURCE SYSTEM
Linkage to More Remote Resources
Feedback on Solution Effectiveness
PROBLEM MESSAGES
Fabrication of Solution
Application
Felt Need
Problem Diagnosis
Search
Retrieval
Internal Problem Solving Cycle
THE USER SYSTEM

Figure 23. A Linkage View of Resource-User Problem Solving[1]

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[1] From Havelock, Ronald G. *The Change Agent's Guide to Innovation in Education.* Englewood Cliffs, New Jersey: Educational Technology Publications, 1973, page 166.

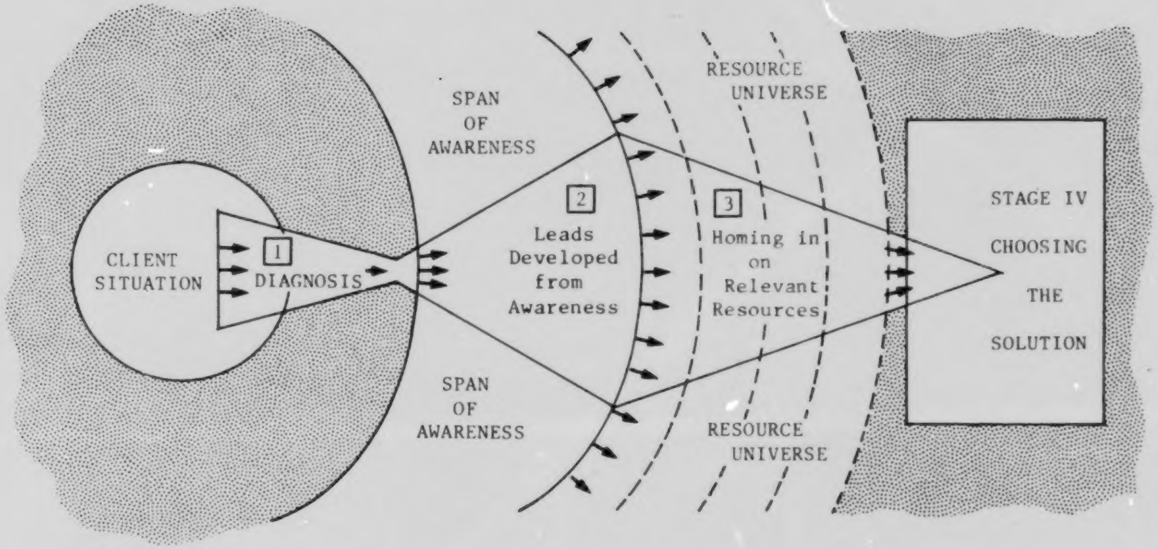
CLIENT SITUATION
1
DIAGNOSIS
SPAN OF AWARENESS
SPAN OF AWARENESS
2
Leads Developed from Awareness
RESOURCE UNIVERSE
RESOURCE UNIVERSE
3
Homing in on Relevant Resources
STAGE IV
CHOOSING THE SOLUTION

Figure 24. Resource Acquisition Is a Three-Part Problem[1]

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[1] From Havelock, Ronald G. *The Change Agent's Guide to Innovation in Education*. Englewood Cliffs, New Jersey: Educational Technology Publications, 1973, page 82.

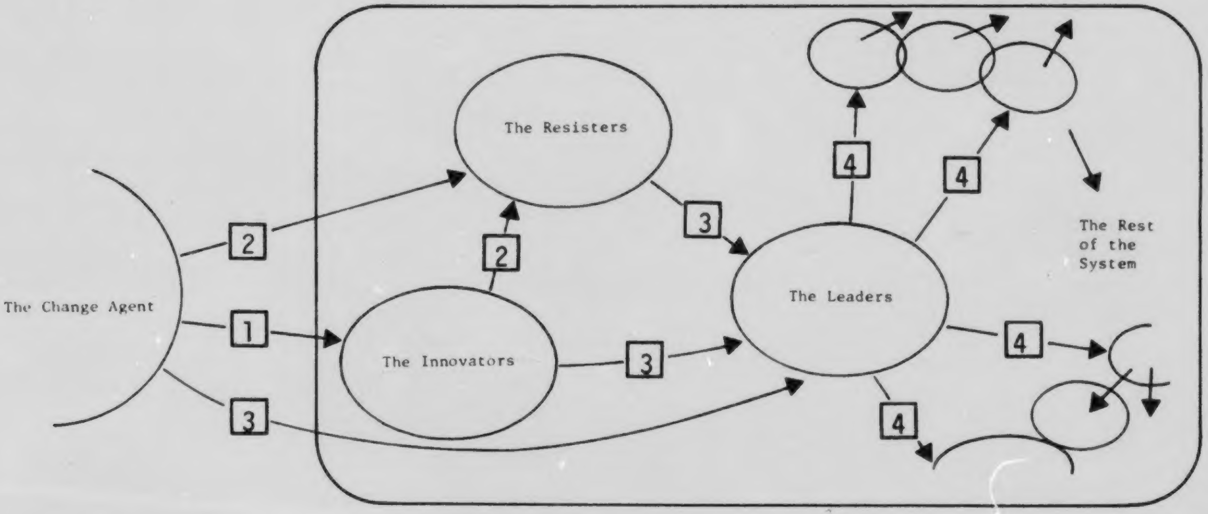
The Change Agent
1
2
2
3
3
3
The Resisters
The Innovators
The Leaders
4
4
4
4
The Rest of the System

Figure 25. A Stepping-Stone Strategy for Gaining Group Acceptance[1]

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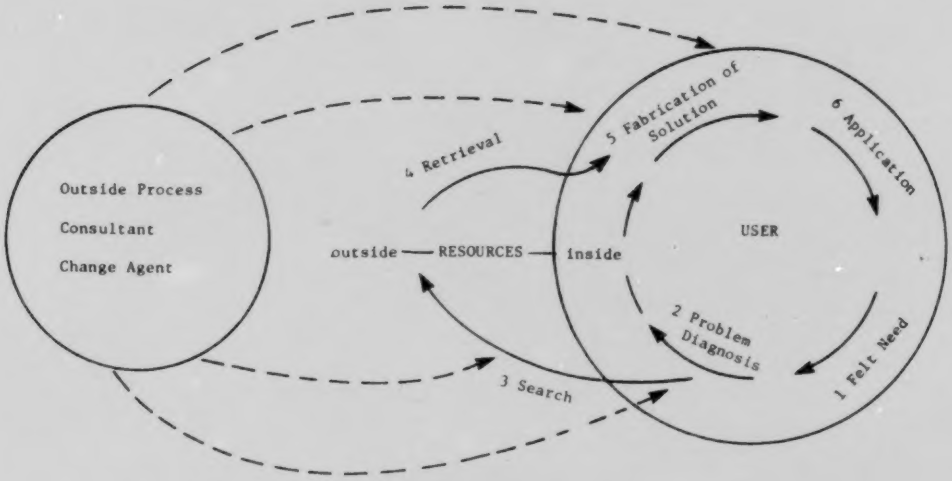
[1] From Havelock, Ronald G. *The Change Agent's Guide to Innovation in Education.* Englewood Cliffs, New Jersey: Educational Technology Publications, 1973, page 124.


Outside Process
Consultant
Change Agent
outside — RESOURCES — inside
USER
1 Felt Need
2 Problem Diagnosis
3 Search
4 Retrieval
5 Fabrication of Solution
6 Application

Major Points Stressed:	User need is the paramount consideration Diagnosis is part of the process Outsiders are catalyst consultants or collaborators, but users must find the solution themselves or see it as their own Internal resources should be fully utilized Self-initiated change has the firmest motivational basis and the best prospects for long-term maintenance
Spokespersons:	Goodwin Watson, Ronald Lippitt, Herbert Thelan, Matthew Miles and Charles Jung
Prototypes:	Organizational self-renewal and mental health consultation

Figure 26. The Problem Solver's Strategic Orientation[1]

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[1] From Havelock, Ronald G. *The Change Agent's Guide to Innovation in Education.* Englewood Cliffs, New Jersey: Educational Technology Publications, 1973, page 155.

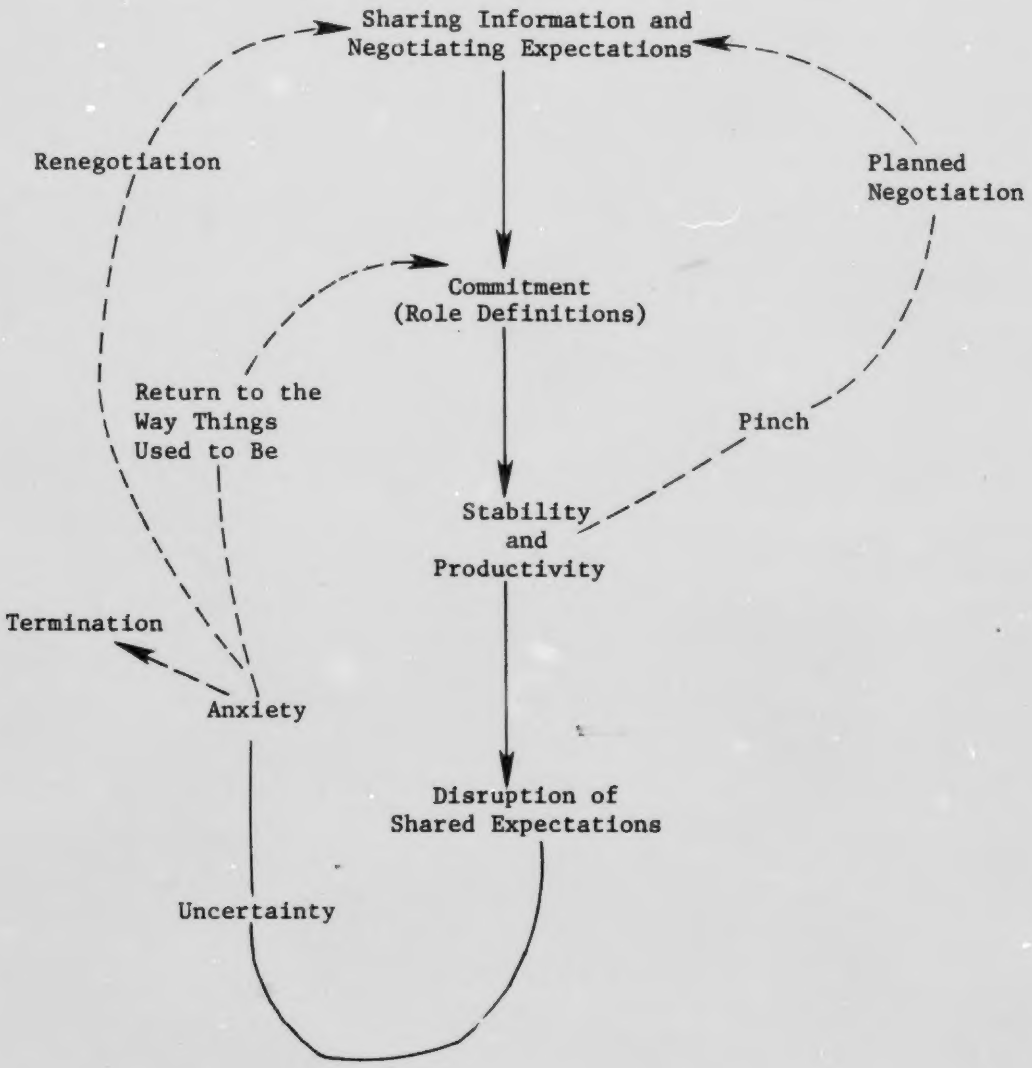
Sharing Information and Negotiating Expectations
Renegotiation
Planned Negotiation
Commitment (Role Definitions)
Return to the Way Things Used to Be
Pinch
Stability and Productivity
Termination
Anxiety
Disruption of Shared Expectations
Uncertainty

Figure 27. Planned Renegotiation: A Norm-Setting OD Intervention[1]

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[1] From "Planned Renegotiation: A Norm-Setting OD Intervention," by John J. Sherwood and John C. Glidewell. Reprinted from W. Warner Burke (Ed.), *New Technologies in Organization Development: 1.* La Jolla, Calif.: University Associates, 1975. Used by permission of the authors and NTL Institute for Applied Behavioral Science. © 1971 by Sherwood and Glidewell.

Resource 21: PETC-III Models

	PETC-I: Skills Training	PETC-II: Consulting	PETC-III: Organizational Development
Usual Client System	Individual or small group	Small group or major subsystem of the organization	The organization (although most of the work may be with a major subsystem)
Assistance for Client	To increase process skills such as goal setting, communicating, influencing or decision making	To move through phases of an improvement effort	To add and maintain improved functional capability To increase those functional capabilities that enable the organization to add new kinds of objectives or use new kinds of resources
Competencies of the PETC Consultant	Diagnosis for, and provision of, group process skills training exercises	Differential diagnosis and intervention to provide added functions in a temporary relationship	Application of diagnostic and intervention techniques to facilitate normative and structural changes in the organization which a) maintain improved functions and b) make its identity and decision-making dynamic in response to social change
Usual Duration of the Client Relationship	A few hours or days	A few days or weeks	Several months to four or five years
Prerequisite Competencies	Trainer Experience In: Action Research, Research Utilizing Problem Solving (RUPS) Interpersonal Communications (IPC)	PETC-I Interpersonal Influence (INF)	PETC-II System Technology Social Conflict & Negotiative Problem Solving (SC&NPS)

Figure 28. Relationships of the Three PETC Systems

	PHASE I, ANIMAL SELF	Transitional Factors	PHASE II, STEREOTYPIC SELF	Transitional Factors	PHASE III, OPINIONATED SELF	Transitional Factors	PHASE IV, EXISTENTIAL SELF	Transitional Factors	PHASE V, CREATIVE SELF
Responses Organized Around:	Reaction to awarenesses of internal need/ capacity states	Interaction with socialized human beings who treat individual as "one of us."	Stereotypic understandings of others' and his/ her own roles	Interaction with socialized human beings who "tell" individual that he/she is the "personalized" owner of his/her experiences.	Opinions based on owned experiences	Intercultural interactions which result in relativistic implications that undermine validity of stereotypic and opinionated orientations.	A value for experiencing	Energy freed from fighting against being pulled back so that he/she can focus attention on experiencing. Wonderment about possible purposefulness in existence. Recognition of behavior as choice to expose or protect self.	A value for creation of self and of life space
Boundary Understanding of choice Criteria for choosing	None; decision making is purely reactive; criteria for choices come from response to innate needs		Sees self as taking action on choices Criteria come from reinforcement experiences and modeling of key referant persons such as parents, peers, etc.		Sees self as a chooser Internal criteria from opinions based on owned experience		Sees self as "choosing everything," open to all experience Criteria is value for experiencing		Sees self as creator of self Criteria is value for expanding self and life space
Orientation Toward Experiencing	Totally oriented toward responding		Things are dichotomies of good/bad, black/ white, right/ wrong		Things in "experience-owned" areas are a matter of opinion		Anything goes; it is only bad not to experience; all meaning is in present existence		A search for meaning, creation, wholeness or identification of purposefulness
Nature of Learning	Animal conditioning		Animal conditioning and social reinforcement in terms of stereotypically defined relevance		Animal conditioning and social reinforcement in terms of relevance defined by stereotypes and opinions		Animal conditioning and social reinforcement in terms of value for experiencing		Animal conditioning and social reinforcement in terms of growth of self and world awareness
Most Important Conditions for Learning	Reinforcement, sanctions and practice		Congruence with stereotypes		Respect for opinions Right of selection from learning experiences offered		Experimental opportunities Feedback on experimental consequences Protection from self-destruction		Right of negotiating conditions for learning experiences

Figure 29. Possible Evolution of Social-Psychological Self

Resource 21, Page 4
Activity 11
Third Meeting

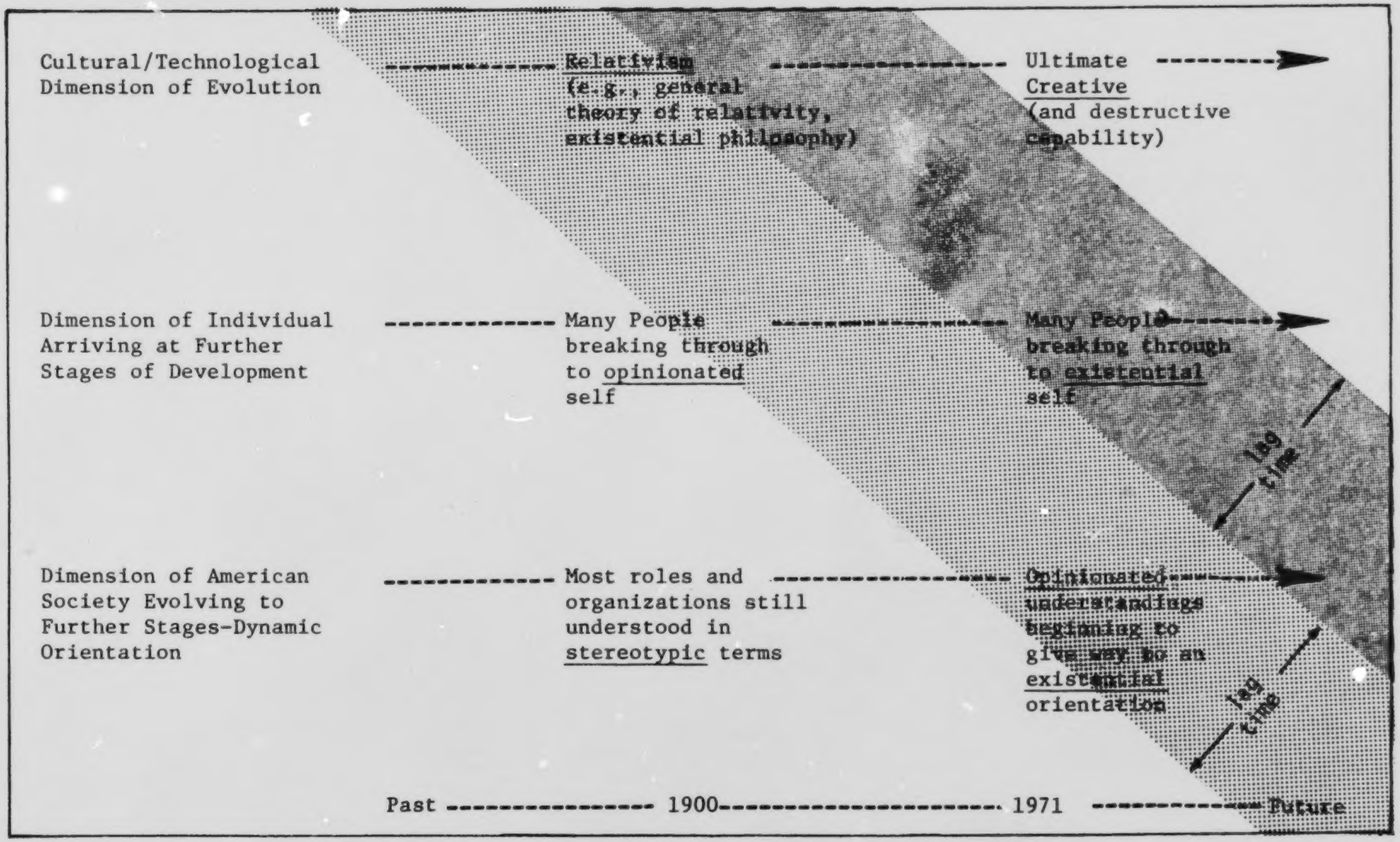
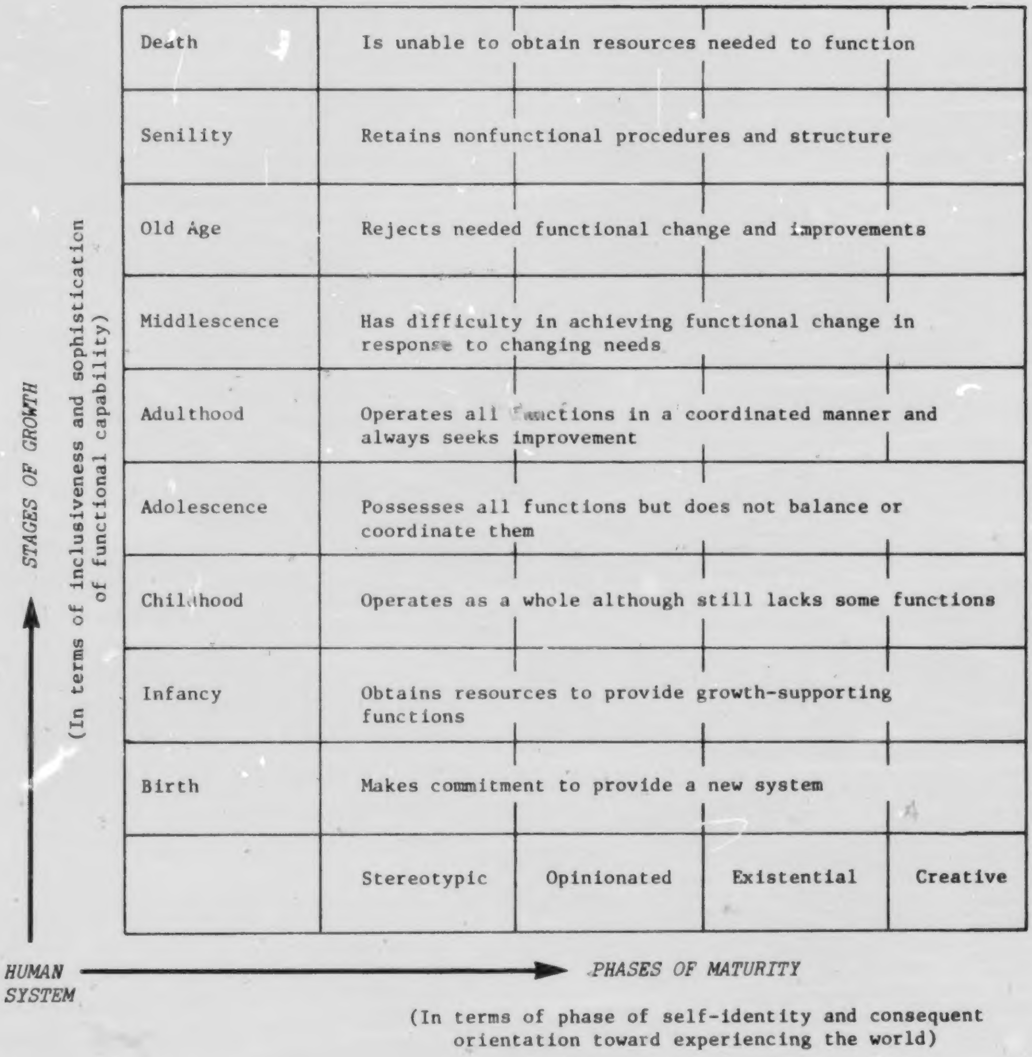
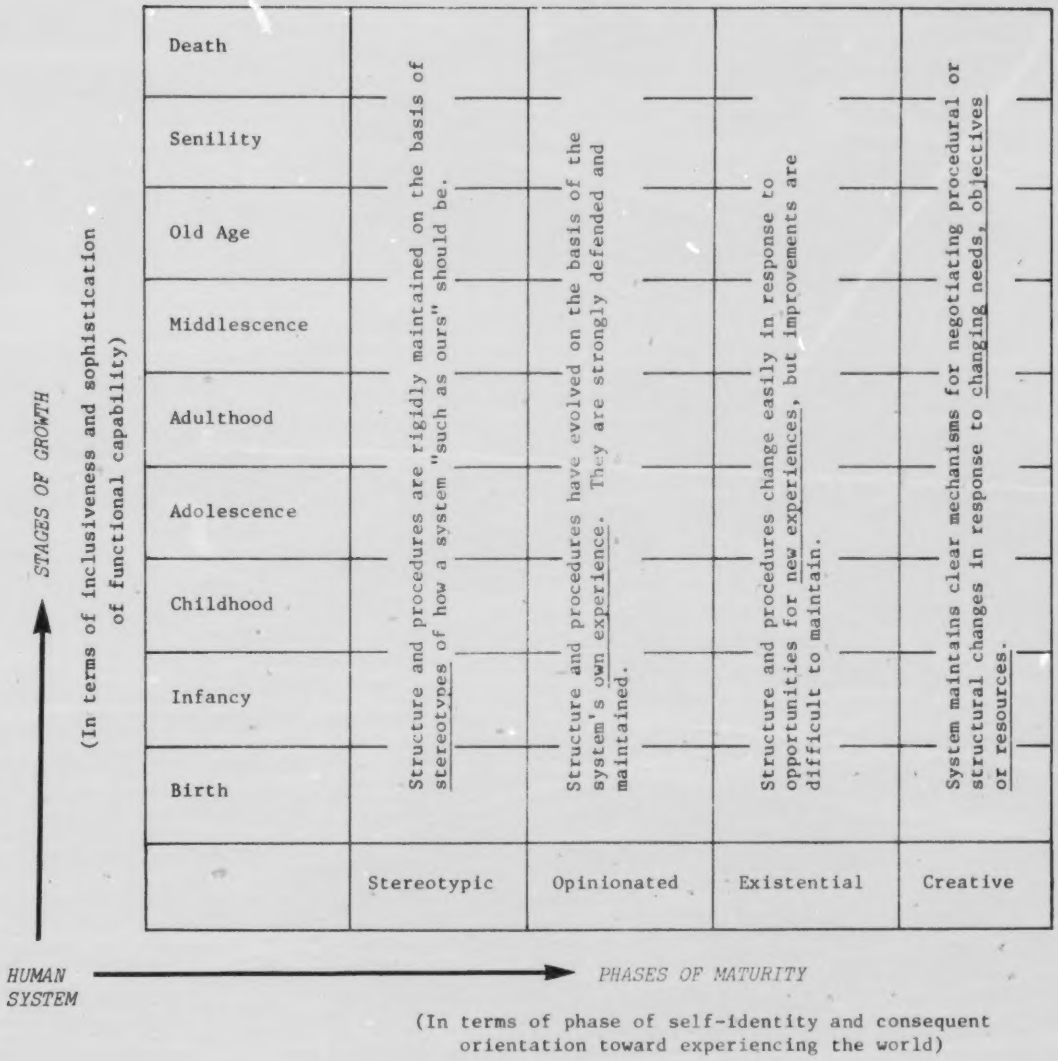

Cultural/Technological Dimension of Evolution
Relativism (e.g., general theory of relativity, existential philosophy)
Ultimate Creative (and destructive capability)
Dimension of Individual Arriving at Further Stages of Development
Many People breaking through to opinionated self
Many People breaking through to existential self
lag time
Dimension of American Society Evolving to Further Stages-Dynamic Orientation
Most roles and organizations still understood in stereotypic terms
Opinionated understandings beginning to give way to an existential orientation
lag time
Past
1900
1971
Future

Figure 30. Lag Time Between Dimensions of Evolution


STAGES OF GROWTH
(In terms of inclusiveness and sophistication of functional capability)
HUMAN SYSTEM
PHASES OF MATURITY
(In terms of phase of self-identity and consequent orientation toward experiencing the world)

Death	Is unable to obtain resources needed to function			
Senility	Retains nonfunctional procedures and structure			
Old Age	Rejects needed functional change and improvements			
Middlescence	Has difficulty in achieving functional change in response to changing needs			
Adulthood	Operates all functions in a coordinated manner and always seeks improvement			
Adolescence	Possesses all functions but does not balance or coordinate them			
Childhood	Operates as a whole although still lacks some functions			
Infancy	Obtains resources to provide growth-supporting functions			
Birth	Makes commitment to provide a new system			
	Stereotypic	Opinionated	Existential	Creative

Figure 31. Growth and Maturity Possibilities for a Human System: Description of Growth Stages (II)


Death
Senility
Old Age
Middlescence
Adulthood
Adolescence
Childhood
Infancy
Birth
Stereotypic
Opinionated
Existential
Creative
STAGES OF GROWTH
(In terms of inclusiveness and sophistication of functional capability)
HUMAN SYSTEM
PHASES OF MATURITY
(In terms of phase of self-identity and consequent orientation toward experiencing the world)

Structure and procedures are rigidly maintained on the basis of stereotypes of how a system "such as ours" should be.

Structure and procedures have evolved on the basis of the system's own experience. They are strongly defended and maintained.

Structure and procedures change easily in response to opportunities for new experiences, but improvements are difficult to maintain.

System maintains clear mechanisms for negotiating procedural or structural changes in response to changing needs, objectives or resources.

Figure 32. Growth and Maturity Possiblities for a Human System: Description of Maturity Phases (II)

Function	Phases of Maturity			
Problem Solving Adequacy	Stereotypic	Opinionated	Existential	Creative
Technical Problem Solving	Technical problems dealt with according to tradition and authoritarian decree Technical analysis and planning are not generally conceived by individuals as a logical process Low level of data objectivity exists	Some part of organization uses explicit system technology process to deal with some technical issues Other parts deal with technical issues according to experience or opinion System technology sometimes applied to wrong kinds of issues Shared understanding and norms for application lacking Variable data objectivity exists	Different parts of organization use different system technology procedures without shared knowledge of differences Consequent lack of norms for coordinated effect on purpose or differentiated application in terms of issue Data objectivity limited by restricted perceptions	Parts use shared, explicit system technology process with skills appropriate to one's role Norms support use of technical problem solving with explicit differentiation and relation to other kinds of logical problem solving processes Some roles and structure provide specialist expertise High level of data objectivity exists
Theoretical Problem Solving	Theoretical issues dealt with according to prejudged stereotypes Action research not conceived of as logical process Power of theoretical models is unrecognized Problem solving oriented toward traditions rather than solution Facts are sought to support standard practice Low level of data objectivity exists	Some part of organization uses explicit action research process to deal with some theoretical issues Other parts deal with theoretical issues according to experience or opinion Action research may sometimes be applied to wrong kinds of issues Shared understanding lacking for action research process and norms for its application Variable data objectivity exists	Different parts of organization use different action research procedures without shared knowledge of differences Consequent lack of norms for coordinated effect on purpose or differentiated application in terms of issue Data objectivity limited by restricted perceptions	Parts use shared, explicit action research process with skills appropriate to one's role Norms support use of theoretical problem solving with explicit differentiation and relation to other kinds of logical problem solving processes Some roles and structure provide specialist expertise High level of data objectivity exists
Philosophical Problem Solving	Philosophical issues not generally recognized as such Philosophical issues are ignored, denied or redefined as traditional issues with predetermined resolution Conflict and negotiation are not conceived as a logical process Data objectivity is not considered in terms of differing self-interests	Some conflict acknowledged with some parts of organization using explicit negotiations process Little understanding of philosophical basis of conflict exists Process applied with explicit assumptions of eliminating issues, antagonists or power Shared understanding and norms for application lacking Problem solving may be applied to wrong kinds of issues Variable data objectivity exists	Different parts of organization use different negotiations procedures without shared knowledge of the differences Consequent lack of norms for coordinated effect on purpose or differentiated application in terms of issue Philosophical basis understood for confronting conflict and negotiating to manage it Norms exist for confronting conflict and negotiating to manage it Data objectivity limited by restricted perceptions	Parts use shared, explicit negotiations process with skills appropriate to one's role Norms support use of philosophical problem solving with explicit differentiation and relation to other kinds of logical problem solving processes Some roles and structure provide specialist expertise High level of data objectivity exists

Figure 33. Functional Capabilities for Continuous Growth in Educational Organizations

Resource 21, Page 7
Activity 11
Third Meeting

Figure 33

Function	Phases of Maturity			
Problem Solving Adequacy	Stereotypic	Opinionated	Existential	Creative
Needs/Opportunities Assessing	Needs or opportunities are generally considered only in relation to given, often implicit, objectives Techniques may exist for assessing needs within these givens, but no explicit process exists for assessing overall organizational needs from any given kind of problem perspective, much less a differential one Low level of data objectivity exists Needs are defined on a superficial or symptom level	Some part of organization occasionally uses an explicit needs assessment procedure limited to one kind of problem orientation, most often technical or theoretical Such procedures generally relate to given kinds of objectives and resources rather than raising consideration of new ones Variable data objectivity exists	Different parts of organization use different needs assessment procedures with differing emphasis toward one or another kind of issue and problem solving procedure Some openness exists to new kinds of objectives and resources Data objectively limited by restricted perceptions	Parts use shared explicit needs assessment process with skills appropriate to one's role Norms support use of assessment by maintaining review of objectives, resources and appropriate relationship of kinds of problem solving efforts Some roles and structure provide specialist expertise High level of data objectivity exists Assessment process seeks new kinds of objectives and resources to better fulfill organization's purpose
Managing Adequacy	Stereotypic	Opinionated	Existential	Creative
Coordinating	Coordination occurs sporadically in the form of directives from persons in top roles of each level of the administrative hierarchy An assumption (often implicit) exists that organizational structure, along with formal policies and procedures, are sufficient to provide for all coordinative needs People are expected to know and do their jobs in unchanging ways and in an unchanging world Once a "proper" pattern is set, it is not expected to change If it becomes apparent that changes in coordination are necessary, structure, personnel or conditions are generally provided as part of the solution Coordination is not recognized as an ongoing procedural issue	Coordination efforts occur repeatedly in different parts and levels of the organization An explicit assumption exists that structure, policies and procedures need to be repeatedly altered to provide coordination Coordination needs are brought to the attention of superiors in the hierarchy who are responsible for making alterations Problems, new objectives or new opportunities are expected to redirect people's efforts Need recognized for some procedural skills to make changes to improve coordination Conception of providing coordination as a part of continuous planning and problem solving processes does not exist generally throughout the organization	Coordination occurs continuously within most parts of the organization, but does not exist in an integrated way across the organization as a whole Different kinds of problem solving processes exist sometimes involving differing levels of capabilities which may predominate in coordinating efforts of different parts of the organization Many kinds of coordinating efforts present, but poorly coordinated with each other Coordination efforts for the organization as a whole may be initiated by many parts at various times, but response may be mixed, conflicting or lacking from other parts	Coordination occurs as a part of continuous planning and problem solving processes within and among all parts of the organization Structure seen as supportive to coordination (e.g., "link pin" roles, role representatives in decision making groups) rather than providing it (e.g., "everyone should know and follow the orders of the boss of their unit") Individuals with expertise and responsibility for implementation on any particular issue are accepted by others in taking temporary coordinative leadership responsibility Anyone who identifies a need for coordination initiates a problem solving process to respond Explicit norm operates so everyone shares responsibility for maintaining good coordination

Figure 33

Function	Phases of Maturity			
Managing Adequacy	Stereotypic	Opinionated	Existential	Creative
Communicating				
Content	Content is ritualistic, routine, repetitive, redundant Much information not shared, especially concerning values, decision making or conflict-generating issues Content emphasizes who, what and when	Communication routine and ritualistic Some sharing exists about decision making, goals, procedures, accomplishments and barriers Some sharing present about policy	Communication is routine, with short-lived rituals Content focuses on current innovations of how and why as well as who, what and when Content emphasizes values and directions of effort as well as the efforts themselves	Some communication is routine and ritualistic Periods of "silence" evident Some sharing exists about implications related to purpose as well as achievement Content shared about the system as an end as well as a means
Directionality	Communication generally initiated from the top down Communication exists mostly vertically within subparts Upward initiations are of a positive nature	Directions come from top down Suggestions, and sometimes demands, sent upward Horizontal communication exists as well as vertical within subparts Occasional feedback loops used	Communication initiated from any part of system Communication not always well targeted for relevance Much "noise" exists in the system Feedback loops present	Communication initiated from any part of the system Communication targeted to relevant others, horizontally and vertically, positive and negative Clear feedback loops exist
Structure	Formal structure exists Subparts unrepresented in structure Linking roles or techniques lacking among subgroups Secretive informal "grapevine" is strong	Formal communication exists across subparts Informal communication used within subparts Some representativeness, but linkages are mostly vertical and near top of hierarchical structure Fairly open "grapevine" exists	Structure is mostly informal Vertical linkages present throughout structure, but lacking possible horizontal ones	Knowledge and access is shared concerning both formal and informal means Both vertical and horizontal linkages exist
Purpose	Communication designed to control activity and fulfill routines	Communication limited to providing directions and information to clarify meaning	Communication used to clarify meaning Ideas are sought and shared Occasional feedback exchanged	Communication is used to seek meanings and generate alternatives Communication used to maintain a guiding system of feedback
Quality	Communication is closed and inaccurate	Communication guarded except within subparts Significant areas of inaccuracy exist	Openness exists across some subparts Communication is generally accurate Some spontaneity exists	Openness to communication present both within and among subparts High accuracy and much spontaneity exists

Figure 33

Function	Phases of Maturity			
Managing Adequacy	Stereotypic	Opinionated	Existential	Creative
Structuring	Fixed, hierarchical structure maintained by unquestioned tradition and assumptions New roles or structured change are top policy and administrative concern since they are viewed as embodying the identity of the organization	"Line and staff" differences are common Changes of roles, individuals in roles and subparts are common way to respond to problems Little attention paid to related changes in policy, procedures or outcomes New structure endures to extent it contributes to centrally defined objectives	Structure is decentralized, with continuous alterations of grouping and occasional birth or death of a subpart Major divisions last a relatively long time, depending on their independent success	Functional matrix orientation provides organizing temporary subsystems to accomplish tasks appropriate to purpose A structured capability is maintained to fulfill its purpose but maintaining any particular structure for itself is not valued Structuring is both proactive and reactive as kinds of objectives and resources change since identity is a commitment to purpose other than structure
Influencing	Most procedures and criteria are implicit Power in the system is likely to be seen as low and unequal Much "reward" power and "coercive" power used	Some procedures and criteria are explicit Power may be high, but most likely seen as unequal among roles and among subparts Much interpersonal "referent" power is mixed with other kinds	Procedures and criteria are explicated repeatedly within subparts Power levels and equalization may vary among subparts	Variety of procedures and criteria are explicit Power in the system is high and widely equalized within and among subparts Power uses experienced as appropriate, though variable in relation to kinds of problem situations
Decision Making	According to tradition Decisions made by high-level authority roles Criteria used are mostly implicit Major decisions made high in the hierarchy Most persons accept task decisions as predetermined by their role definition	Decisions made by authority roles throughout the system Decisions made according to fairly explicit policies and procedures determined at high authority levels Many routine task decisions made at level of implementation	Decision making is diffused to subparts of the system for most issues Procedures for decision making vary among subparts Policies frequently questioned and excepted Many task decisions, exploratory and innovative as well as routine, are made at level of implementation	Decisions made by differential role, functional responsibility Decisions made explicit in some form of task/decision matrix Decisions tend to be made by implementers and those with "legitimate" or "expert" power Frequent decisions about decision making by those affected and/or responsible
Rewarding	Rewards are extrinsic Rewards serve to maintain roles, status differences, structure and procedures Rewards used mostly for implicitly understood role/task performance and achievements	Rewards are extrinsic for most roles but also intrinsic for roles high in hierarchy Rewards serve mostly to maintain status quo of system Rewards used for goal achievement and functional performance	Rewards are intrinsic and extrinsic Rewards sometimes contradict or conflict among subparts of system Rewards serve to induce change and innovation Rewards used for innovation as well as goal achievement and functional performance	Rewards vary intrinsically and extrinsically in relation to individual differences, but influences towards self-actualization Rewards serve to maintain high productivity and openness to changes that improve the system's fulfillment of purpose Rewards used for explicating meaning as well as other accomplishments

Figure 33

Function	Phases of Maturity			
Supporting Personal and Professional Growth	Stereotypic	Opinionated	Existential	Creative
Providing Learning Resources	Organization unlikely to provide resources for learning of individuals except when imposing introduction to new procedures Released time or other learning resources not supported as legitimized part of most roles When learning is supported, resources outside the organization are used	Organization provides some resources for learning on a fairly regular basis Occasional upgrading of job capabilities is expected Some release time, flow of formal information, provision for involvement in demonstrations and collegial sharing supported Some internal inservice training roles and events provided as well as use of external resources	Organization provides high level of resources for learning, for strengthening functional capabilities and especially for innovation and exploration Nature and emphasis of learning resources varies according to current "fads" Long-range planning or continuity lacking in provision of resources	Organization provides learning resources to continuously support organization's evolution and responsibility for all individuals to be continuous learners Time regularly built into all roles for various degrees of learning and training experiences Wide range of internal resources are available, plus clear procedures for access to external resources
Providing Performance Feedback	Performance reviewed in terms of fixed roles and tasks Individuals judged in terms of the demands of the role, irrespective of the appropriateness of their placement in a role Feedback tends to involve labeling the individual as "good" or "bad" rather than as having done something well or poorly More feedback is negative than positive Feedback is sporadic and unorganized Frequently indirect feedback used to direct behavior	Performance reviewed in terms of roles, tasks and, to some degree, accomplishment of objectives Feedback is often judgmental or interpretive Feedback provided in formal reviews according to forms Feedback given for direction and control more than to support individual growth	Performance reviewed in terms of professional and personal growth in relation to achievement of objectives and innovativeness Feedback given generally to support growth and innovativeness Feedback often occurs spontaneously Feedback given mainly for direction, but may be recognized occasionally as a source of new perspective	Performance reviewed in terms of professional and personal growth Performance reviewed for applications of functional capability to work alone, and with others, to fulfill the purpose of the organization in evolving ways Feedback direct, spontaneous as well as planned Feedback follows generally accepted guidelines for purpose of supporting growth of the individual Feedback seen as a source for confrontation leading to new ways of understanding rather than simply providing guidance toward preset objectives
Training	Very little training exists other than to fit predefined role needs Individuals expected to come to job with capabilities that won't need to vary No ongoing program for job mobility or professional development	Some provisions made for training as a continuous function of the organization Training orientation aimed toward events to meet currently recognized needs allowing some mobility Training oriented toward changing role needs rather than professional development for individual growth and organizational evolution	High level of training present to support innovations and professional growth Training not clearly or well related to coordinated growth of the organization for fulfilling its purpose	Professional and personal development seen as ongoing function of the organization necessary for continuous evolution Growth of individuals is expected to result in their introducing relevant changes in the organization Organization is not simply oriented towards training individuals to meet its own need

Figure 33

Page 6 of 7

Function	Phases of Maturity			
Supporting Personal and Professional Growth	Stereotypic	Opinionated	Existential	Creative
Confronting Apparent Discrepancies	Very little confronting takes place Discrepancies often are unrecognized Discrepancies are often unrecognized or, when recognized, often avoided Discrepancies are generally viewed as unusual departures from status quo which is considered normal Discrepant situations are seldom accepted as evidence of need for altering capabilities, resources, procedures or other aspects of organization	Some confronting present, mainly in areas clearly seen as affecting organizational performance or currently acknowledged social issues and new practices Organization fails to recognize, or ignores, discrepancies that could imply proactive, as compared to reactive, changes Once the discrepancies are legitimized, can lead to training, problem solving and other alterations of functional capability	Organization is very open to confrontation Confrontations lead to training in new capabilities or trial of innovations Attempts may be made to respond beyond the organization's readiness and/or beyond its purpose, involving high risk to health of the organization Resulting conflicts cause fluctations in openness to confrontation	Organization is always open to consider the relevance of apparent discrepancies in relation to fulfilling the purpose of the organization Discrepancies confronted selectively in terms of issue relevance and momentary readiness of the organization Seeks confrontation whenever able to be responsive as basis for ongoing professional development program and the organization's continuous evolution
Attributing Meaning to Experience	Stereotypic	Opinionated	Existential	Creative
Valuing	Things are valued in terms of role performance Things are good if they support what is traditionally expected and maintain the status quo Things are bad, or suspect, if they are new or threatening to the established goals and routine Stated ideals of goals and practice may vary widely from what actually occurs without awareness in the system of the contradictions Values are highly judgmental in tone	Things are valued in terms of functional capability and achievement of objectives without critical awareness of relationship to purpose or side effects Things are good if arrived at and desired internally Things experienced as good for the organization are presumed good for its purpose and the community, whereas outsiders might disagree Valuing of ends precludes attention to means Values are highly moralistic in tone	Things are valued in terms of exploration, innovation and discovery in addition to functional capability and achievement of objectives Things are presumed good until found otherwise Proliferation of goals and procedures are valued without necessarily relating to purpose Growth and change for their own sakes may be confused with purpose Values may be idealistic or seen nihilistic or amoral in tone	Things are valued in terms of values exploration and creative fulfillment of purpose Relation to purpose is primary factor in valuing Pluralism of outcomes in terms of human growth sought through a coordination of varied means Valuing varies in relation to kinds of problem situations Values tend to be exploratory and supportive in tone, rather than judgmental or moralistic

Figure 33

Function	Phases of Maturity			
Attributing Meaning to Experience	Stereotypic	Opinionated	Existential	Creative
Perceiving	Perceptions stem from perspective of role and structure Things understood in terms of previously experienced and prejudged categories If outside those categories, they tend to be misinterpreted, unseen or rejected as nonsense The overall viewpoint tends to be that prescribed by institutional norms which serve to dictate a nondiscriminant acceptance of what is presumed to exist	Perceptions stem from perspective of functions and objectives Things are understood in terms of past and present normative experience of the system Things outside that experience acknowledged and either resisted as foreign or explored for the contribution they might make to the system's commitments The overall viewpoint tends to be provincial	Perceptions stem from perspective of commitment to creative exploration Things understood as either interpretable in terms of past experience or as offering possibilities to open up new ways of understanding A diverse range of ways to view replaces an overall viewpoint characteristic of the system	Perceptions stem from perspective of commitment to confrontation of value and implications vs. purpose Things are seen as understandable and/or challenging to the discovery of meaning Attention given to the extent perceptions are seen as relevant to purpose as presently understood, or as needing to be reexamined A diverse range of ways of perceiving is drawn upon according to the situation of the moment An overall viewpoint of cosmopolitan openness exists
Expressing Feelings	Feelings tend to be expressed only in traditional and ritualistic ways Such expressions often bear little relation to true affective states Under stress, expression of feelings is likely to take the form of pathological symptoms, such as increased absences, gossip, apathy in meetings or increased vandalism Overall climate seems reserved or artificial	Whereas rituals prevail for the expression of feelings, norms for some openness and spontaneity tend to group around areas of new endeavor and among subgroups where no conflict about them emerges Stress tends to convert expression of feelings to pathological symptoms, except where norms to the contrary are firmly established Overall climate seems lively, sometimes aggressive	Expression of feelings varies according to norms of subgroups Generally, a fairly high degree of openness and spontaneity exists In contrast to earlier phases, expression increases as feelings increase Feelings are not so apt to be converted to pathology Overall climate likely to be diverse and variable	General norms exist to support open expression of feelings, especially related to stress and success Expressions may appear less exaggerated as they are more normal than in earlier phases Persons are more likely to make direct declaration of feeling state rather than conversion to symptoms Overall climate of respect exists for affective needs and differences

Resource 21, Page 13
Activity 11
Third Meeting

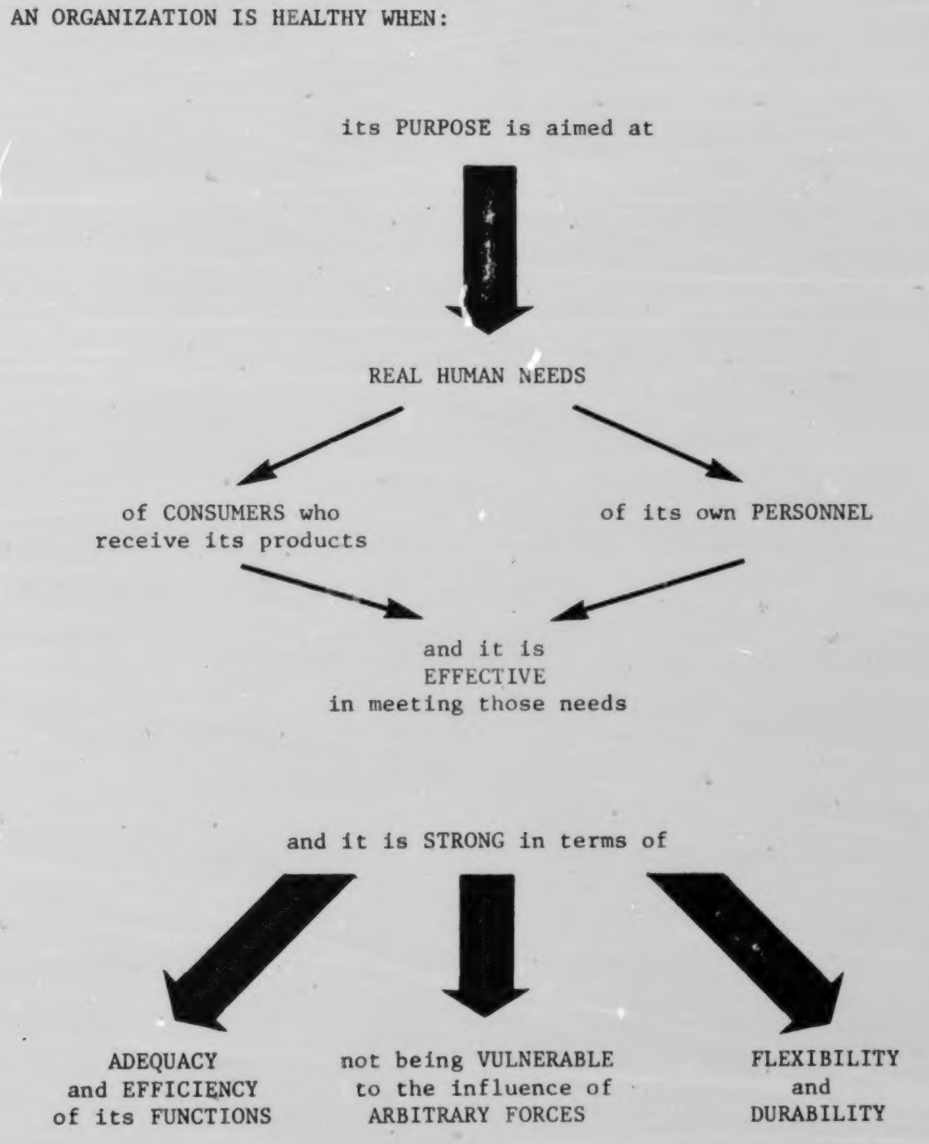

AN ORGANIZATION IS HEALTHY WHEN:
its PURPOSE is aimed at
REAL HUMAN NEEDS
of CONSUMERS who receive its products
of its own PERSONNEL
and it is EFFECTIVE in meeting those needs
and it is STRONG in terms of
ADEQUACY and EFFICIENCY of its FUNCTIONS
not being VULNERABLE to the influence of ARBITRARY FORCES
FLEXIBILITY and DURABILITY

Figure 34. Summary of the Concept of Organizational Health

Current Limited Purpose	Factors Constraining Movement	Organizational Development	Factors Facilitating Movement	Potential of Mature Educational Purpose
Now, schools tend to be concerned with social functions: Custodial care and control Instruction emphasizing achievement without meaning Socialization for conformity Selection through screening and certification	External Constraining Factors Societal and community expectations and demands for functions other than the ideal one Lack of maturity of different groups and conflict based on these differences Reaction to change and unsuccessful past efforts at improvement Investment in existing system as well as inertia against movement	Concerned With Mature Educational Purpose	External Facilitating Factors Societal and community demands for improvements as well as inertia to continue movement Increasing maturity of some groups Increased knowledge and ways for gaining new skills Increased resources	Mature concern of schools includes a focus on the appropriateness of learning experiences: Readiness in terms of content to be learned Relevance in terms of the students' cultural and self life styles Meaningfulness in terms of developmental factors of cognitive, moral and self-growth
Given that schools tend to be in early phases of organizational maturity, these concerns operate to define a purpose other than the dual one proposed as needed in a changing society.	Internal Constraining Factors Desire of some to maintain the existing system and others' inertia against movement Lack of concepts, skills, methodologies and other resources Lack of enough mature individuals Prevailing structures and norms Naive means of coping with newly surfaced conflicts		Internal Facilitating Factors Demand from some for increased capabilities and system improvements as well as inertia to continue movement System's increased openness New willingness to confront differences Increasing numbers of mature individuals and youths with a relativistic perspective Increased process capabilities	As schools reach advanced phases of organizational maturity, this focus can fulfill the dual purpose of: Preparing individuals to make society function Facilitating unique growth of individuals in pluralistic ways that contribute to the evolution of society

Resource 21, Page 15
Activity 11
Third Meeting

Figure 35. Major Factors In a School's Movement Toward a Mature Educational Purpose

VARIABLES TO CONSIDER IN FACILITATING INTERVENTION	PHASES OF MATURITY OF THE ORGANIZATION			
	Stereotypic Phase	Opinionated Phase	Existential Phase	Creative Phase
Boundaries	Generally inflexible decision making procedures, rules and norms; values which are often implicit and not open to examination	Decision making procedures which can be altered on the basis of the organization's own experience; norms and values may sometimes be explored from the inside	Quite permeable, but diffuse subgroupings; easy to become part of a subgroup's decision making; but difficult to affect the total system	Boundaries either an explicit procedure for making decisions or norms and influences that can be questioned by use of existing procedures
Entry	Easy entry if seen as expert; quick rejection if seen as making an error	Acceptance within boundaries of systemic decision making must be reclarified frequently	Entry into system's subparts may be easy; entry into total system's decision making may be very difficult as it is diffuse	Generally negotiated; may take more time but is apt to be most meaningful once achieved
Usual Orientation Toward Consultants	Pushes consultants toward playing expert role; tends to be dependent on them and expect perfection from them	Counterdependent rejection of help from "outsiders" forces consultants to prove self as acceptable as an "insider"	Independent to the extent of ignoring potential resources of consultants; seeks innovativeness or support for its current innovative interests	Interdependent willingness to negotiate collaborative relationships for mutual benefit/growth
Changeableness	Minor changes within the stereotypically limited conception of "correct" purpose and procedures easy; other changes very hard	Major changes can occur over time in a constructive manner if system is allowed to test/assimilate improvements on its own terms	Many changes typically occur continuously; a particular change may be easy to bring about, but very difficult to maintain	Always open to change, but demands evidence of need/feasibility to initiate; demands proof of value to maintain
Usual Kind of Change	Change most often reactive in response to external forces	Change most often proactive based on felt needs of persons within the system	Change most often interactive at subsystem levels; results in disruptive upheavals in total system	All three kinds of change equally possible
Acceptance of Responsibility For Change	Very low; tends to see external forces as responsible	Only responsible when change generated internally	Sees all subsystems as responsible for own changes; thus avoids overall responsibility	Very high; sees own operation as sharing responsibility with other organizations with which it is interdependent
Typical Structure	Represented by traditional hierarchical role groupings	Represented by traditional functionally oriented organizational chart	Represented by diagram combining role and functions with purposeful groupings	Represented by matrix indicating how resources can be regrouped flexibly to achieve changing objectives and use new resources
Typical Norms	Support status quo; maintain traditions; don't "rock the boat"; expect and reward doing things in same old ways	Support competitive success and esprit de corps; punish failure; reject outsiders; deny differences; demand primary loyalty to maintaining the organization	Value experimentation and "doing your own thing"; anything new expected to be good; almost anyone can enter but few can influence	Support collaborative success while facing conflicts honestly; openness, risktaking, trust; management by objectives and decision making by negotiation

FIGURE 36. Organizational Maturity and Variables to Consider in Facilitating Interventions

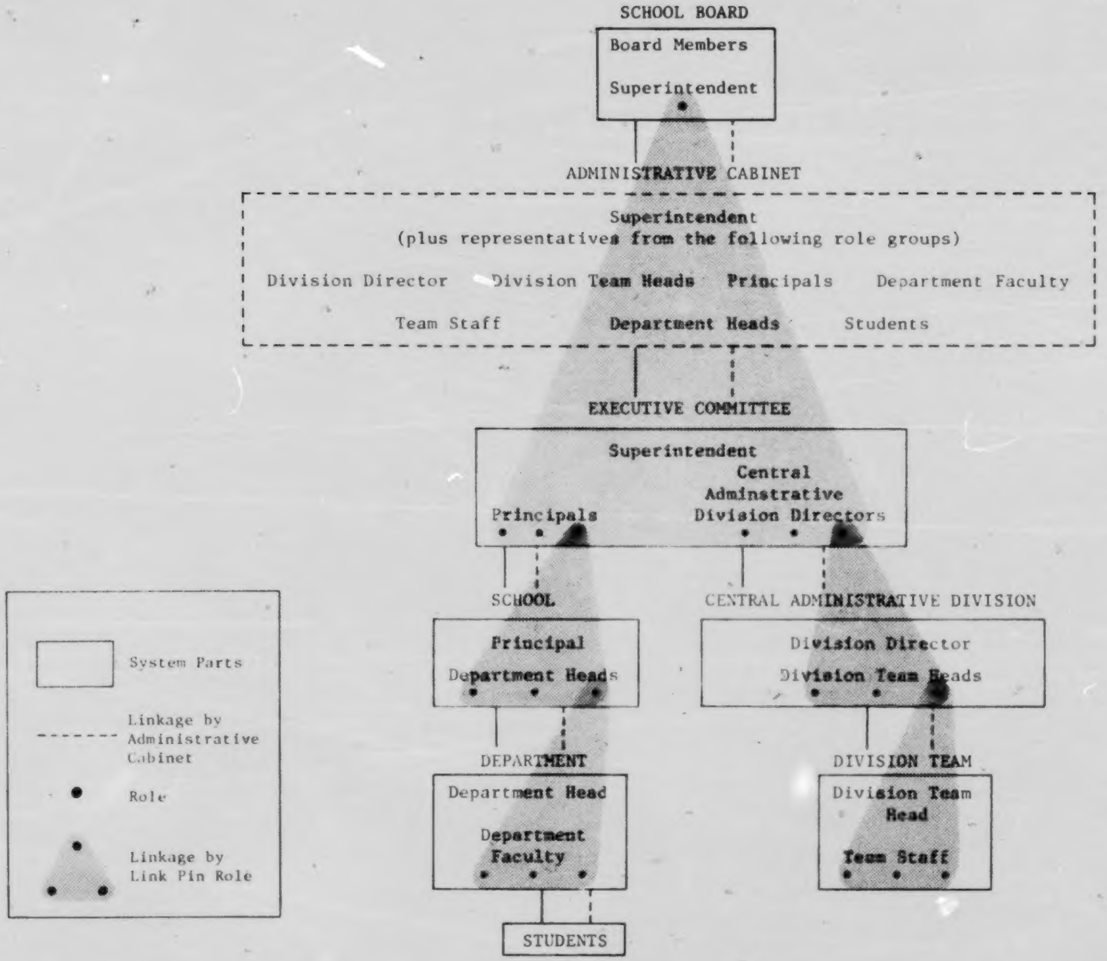

SCHOOL BOARD
Board Members
Superintendent
ADMINISTRATIVE CABINET
Superintendent
(plus representatives from the following role groups)
Division Director
Division Team Heads
Principals
Department Faculty
Team Staff
Department Heads
Students
EXECUTIVE COMMITTEE
Superintendent
Central Adminstrative Division Directors
Principals
SCHOOL
Principal
Department Heads
CENTRAL ADMINISTRATIVE DIVISION
Division Director
Division Team Heads
DEPARTMENT
Department Head
Department Faculty
DIVISION TEAM
Division Team Head
Team Staff
STUDENTS
System Parts
Linkage by Administrative Cabinet
Role
Linkage by Link Pin Role

Figure 37. Two Kinds of Structural Linkage in an Organization[1]

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[1] This figure represents only a cross section of a district. Within a district there would be many such units reporting to the Executive Committee.

Resource 21, Page 17
Activity 11
Third Meeting

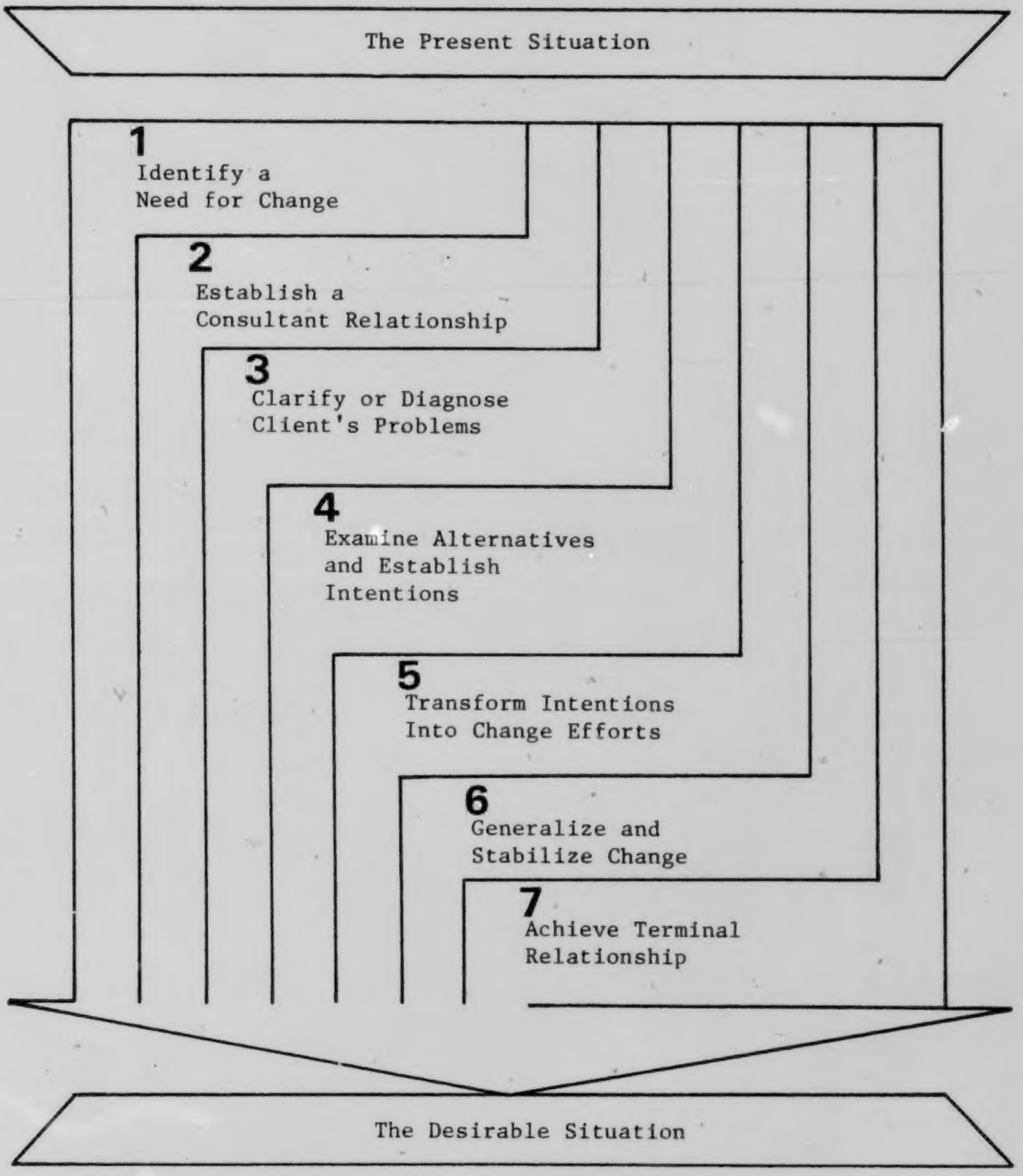
The Present Situation
1
Identify a Need for Change
2
Establish a Consultant Relationship
3
Clarify or Diagnose Client's Problems
4
Examine Alternatives and Establish Intentions
5
Transform Intentions Into Change Efforts
6
Generalize and Stabilize Change
7
Achieve Terminal Relationship
The Desirable Situation

Figure 38. Phases of the Consultation Relationship for Planned Change

	Periods of Time Covering the Total OD Effort (Each Period May Last From Days to Months)						
Kinds of Work	Period I	Period II	Period III	Period IV	Period V	Period VI	Period VII
Identify a need for change	*PHASE 1 emphasizes this kind of work*	(What is the dissatisfaction or the desire? Who wants the improvement?)					
Establish a consultant relationship	(Does the	*PHASE 2 emphasizes this kind of work*	client desire help? Does the consultant want to help? Who will do what?)				
Clarify or diagnose client's problem	(Why and how are things implied?)		*PHASE 3 emphasizes this kind of work*	happening as they are? What kind of problem solving is			
Examine alternatives and establish intentions	(What can be done to bring improvement?			*PHASE 4 emphasizes this kind of work*	What effects and side effects might occur?)		
Transform intentions into change efforts	(What people need to be involved and what decisions need to action?)				*PHASE 5 emphasizes this kind of work*	be made in order to begin	
Generalize and stabilize change	(What structures and norms must be formed and what forces are needed to structures and norms in order to permanently build the new functional the organization?)					*PHASE 6 emphasizes this kind of work*	support these capacity into
Achieve terminal relationship	(How can the consultants make sure that the client knows it is responsible for the improvement? How can the consultants make sure the client is capable of maintaining the improvement?)						*PHASE 7 emphasizes this kind of work*

Figure 39. The Phases of Consultation as Major Kinds of Work (III)

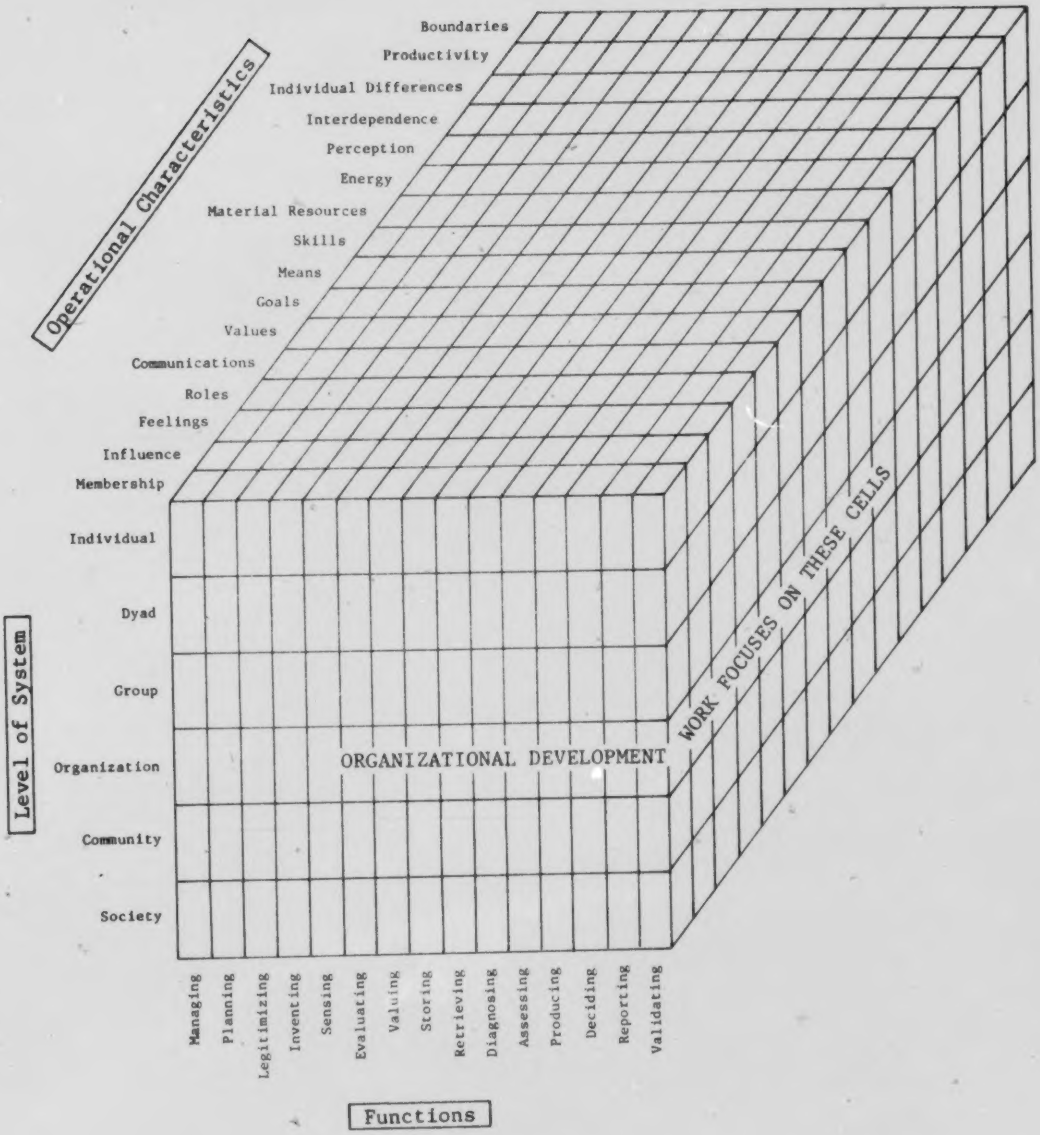
Operational Characteristics
Boundaries
Productivity
Individual Differences
Interdependence
Perception
Energy
Material Resources
Skills
Means
Goals
Values
Communications
Roles
Feelings
Influence
Membership
Level of System
Individual
Dyad
Group
Organization
Community
Society
ORGANIZATIONAL DEVELOPMENT
WORK FOCUSES ON THESE CELLS
Managing
Planning
Legitimizing
Inventing
Sensing
Evaluating
Valuing
Storing
Retrieving
Diagnosing
Assessing
Producing
Deciding
Reporting
Validating
Functions

Figure 40. Differential Diagnostic Matrix (II)

Resource 21, Page 21
Activity 11
Third Meeting

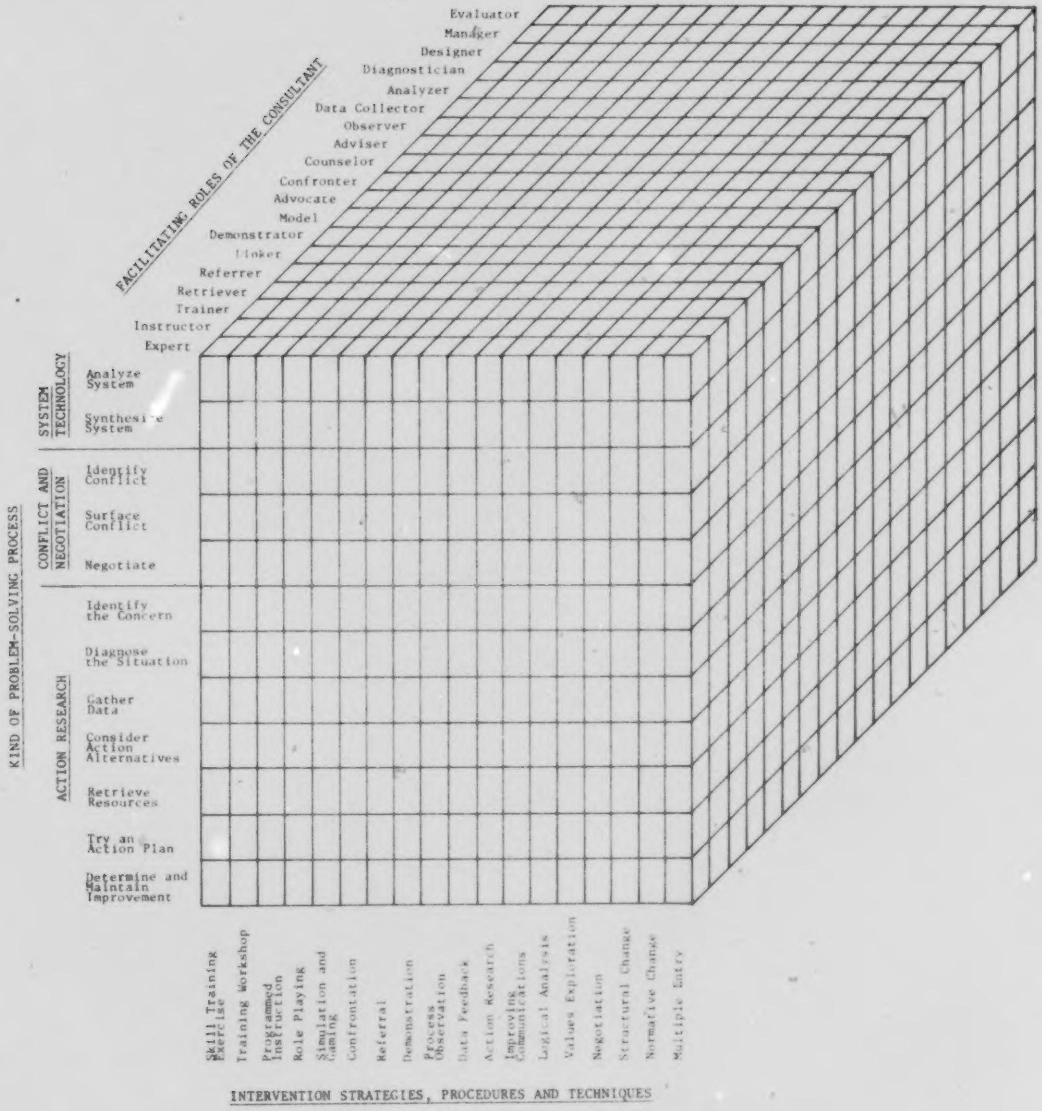
FACILITATING ROLES OF THE CONSULTANT
Evaluator
Manager
Designer
Diagnostician
Analyzer
Data Collector
Observer
Adviser
Counselor
Confronter
Advocate
Model
Demonstrator
Linker
Referrer
Retriever
Trainer
Instructor
Expert
KIND OF PROBLEM-SOLVING PROCESS
SYSTEM TECHNOLOGY
Analyze System
Synthesize System
CONFLICT AND NEGOTIATION
Identify Conflict
Surface Conflict
Negotiate
ACTION RESEARCH
Identify the Concern
Diagnose the Situation
Gather Data
Consider Action Alternatives
Retrieve Resources
Try an Action Plan
Determine and Maintain Improvement
Skill Training Exercise
Training Workshop
Programmed Instruction
Role Playing
Simulation and Gaming
Confrontation
Referral
Demonstration
Process Observation
Data Feedback
Action Research
Improving Communications
Logical Analysis
Values Exploration
Negotiation
Structural Change
Normative Change
Multiple Entry
INTERVENTION STRATEGIES, PROCEDURES AND TECHNIQUES

Figure 41. Differential Intervention Matrix (II)

Activity 12: Planning Organizational Development Work (III)

Purpose: To make plans for OD work between the Third and Fourth Meetings. To clarify PETC-III OD concepts and provide a critique of intervention plans.

Objectives: Given the materials listed below, trainees will utilize and apply PETC-III OD concepts, produce plans for their OD work between the Third and Fourth Meetings and report their plans to the LG for reactions and a critique.

Time	Agenda	Materials	
10 min.	1. Introduce activity	A12,	Planning Organizational Development Work (III)
15 min.	2. Read Resource 22	R22,	The Organizational Development Consultant as Theorist (I)
10 min.	3. Review procedures for planning OD work	P20, R22 R23,	Guidelines for Planning Organizational Development Work (III) Checklist of Some Important Concepts from PETC-III
3 hours	4. Plan OD work	P20	(Part I)
3 hours	5. Report OD plans and introduce Procedure 21	P20 P21,	(Part II) Intervention Case Papers
BEFORE THE FOURTH MEETING:			
	6. Prepare case papers	Blank NCR paper for P21[1] P21 R22	

---

[1] Instead of making NCR copies of Procedure 21, trainees may wish to use a duplicating machine such as Xerox or Thermofax.

Resource 22: The Organizational Development Consultant as Theorist (I)[1]

Educators, social scientists and OD consultants often quote Kurt Lewin's dictum, "There is nothing so practical as a good theory." This dictum has been underutilized in educational OD work. The powerful interdependence between theories and behavior has not been emphasized sufficiently in the application of social scientific information to organizations and OD work. This resource describes a way to operationalize Lewin's declaration in the direction of helping OD consultants become better theorists.

Learning processes that enable OD consultants to become better theorists are a major theme in the PETC-III system. The utilization and application of the diagnostic and intervention matrices are a basic resource for OD consultants to use in increasing their competence as theorists.

Every human interaction implies a theory. The effectiveness of any human action depends on the validity of its underlying theory. It follows that all intervention actions taken by OD consultants are based on theories. A theory is broadly defined as a generalization that links two or more concepts, e.g., in situation S, do X in order to achieve G.

Schon (1972) has proposed that there are three versions of the theory underlying any human interaction:

Espoused theory (the way I explain my behavior)

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[1] Reproduced by special permission from *Theory and Method in Organization Development: An Evolutionary Process*. Edited by John Adams. © 1974, NTL Institute for Applied Behavioral Science, Arlington, Virginia.

Reconstructed theory (the way an observer explains my behavior by watching me and by making inferences)

Theory in use (the explanation of my behavior that validly predicts what I will do)

For example, a team of OD consultants in a large school district has been asked to deal with two work units that are engaged in unproductive conflict. The two units are in the same division. The OD consultant team has chosen a confrontation meeting for the two units. Upon inquiry it becomes clear that the espoused theory of the team is that their goal is to help the two groups deal more effectively with conflict, that they assume the groups want to resolve their conflict and that their strategy of a confrontation meeting is a likely means of achieving their goal. Charted, their espoused theory would look like this:

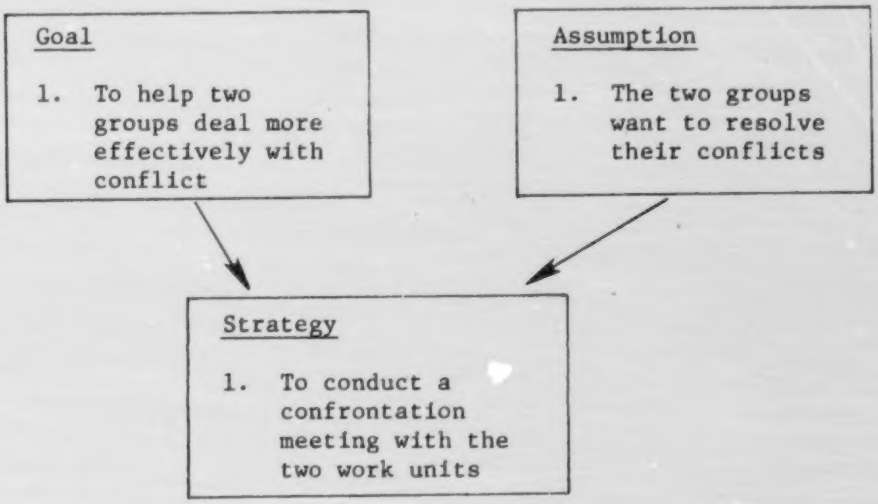

Goal
1. To help two groups deal more effectively with conflict
Assumption
1. The two groups want to resolve their conflicts
Strategy
1. To conduct a confrontation meeting with the two work units

Figure 42. Espoused Human Interaction Theory of Consultant Team

However, espoused theories are poor maps for theories-in-use. People's explanations of what they intend to do often leave out many of the things they actually do. Consequently, their espoused theories are incomplete explanations of their behavior. Espoused theories may be irrelevant to or inconsistent with theories-in-use when people's beliefs and their behavior are poorly synchronized. In these cases, the people are not aware of important elements of their behavior and are therefore unreliable predictors of their own behavior.

It is at this point that the second version of human interaction theory--reconstructed theory--becomes useful. Let us return to our example: If you had observed the OD consultant team in action, you would have noticed that both consultants avoided a direct confrontation between their client and themselves. They thereby modeled nonopenness as a means of dealing with conflict. Such behavior cannot be predicted from the consultants' espoused theory.

An inferred reconstructed theory includes the espoused theory, adds the goal of the team to avoid direct conflict with the clients, the assumption that the clients cannot handle conflict with the OD consultant team and a strategy of nonopenness about issues that threaten to produce such conflict. The reconstructed theory, when charted, would look like Figure 43.

From this reconstructed theory, you could hypothesize outcomes, which might include:

That members of the work units will continue to fail to resolve their conflicts

That members of the work unit will increase their mistrust of themselves and each other

That the OD consultant team will receive unreliable feedback

That the confrontation meeting will become one of overt cooperation and covert resentment

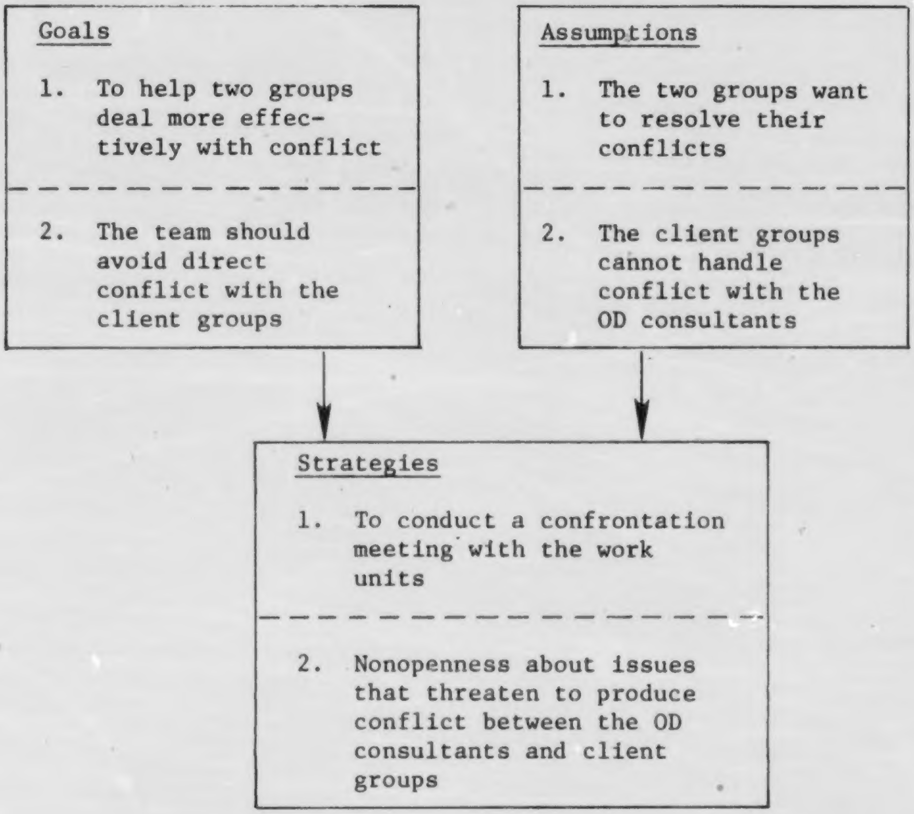

Goals
1. To help two groups deal more effectively with conflict
2. The team should avoid direct conflict with the client groups
Assumptions
1. The two groups want to resolve their conflicts
2. The client groups cannot handle conflict with the OD consultants
Strategies
1. To conduct a confrontation meeting with the work units
2. Nonopenness about issues that threaten to produce conflict between the OD consultants and client groups

Figure 43. Reconstructed Human Interaction Theory of Consultant Team

One way people determine their beliefs and attitudes is to make inferences from their own behavior (e.g., "I must enjoy horse racing since I spend every weekend at the racetrack").

In PETC-III, it may be possible for trainees to help each other explain their theories-in-use through dialogues between themselves and other persons who are making inferences about their behavior.

To provide a starting point for such dialogue, trainees will be asked to be alert to discrepancies between what a TU writes (Procedure 21) and the way in which it talks about what it plans to do. In addition, trainees will be asked to prepare an assignment for the Fourth Meeting that will further operationalize development of their own theories of intervention.

Through a process that focuses on making theories more explicit, OD consultants can learn to see the inconsistencies, invalid assumptions and closed-loop aspects of their theories.

Reference

Schon, Donald A. Seminar Discussion, Summer Clinical Program in Educational Administration, Center for Educational Leadership, 1972.

Procedure 20: Guidelines for Planning Organizational Development Work (III)

Part I: Planning Organizational Development Work

3 hours

Do the following in your TU:

A. Plan your OD work for the period between the Third and Fourth Meetings.

   1. Check Procedure 14, Checklist for an Organizational Development Consultant

   2. Check the list of resources listed under Item C below

   3. Check Resource 22, The Organizational Development Consultant as Theorist (I)

   4. Produce your plans for Procedure 20, pages 3 and 4 (a model for stating your theory of intervention)

   5. Check the list of important concepts in Resource 23

B. Produce a report for your LG.

   1. Prepare your report on newsprint

   2. Report your situation, goals, assumptions and strategies

   3. Identify and utilize PETC-III concepts to explain and provide a rationale for your plans

C. Use the resources listed below as they are appropriate and relevant to you.

Resource 4, Major Kinds of Problem Solving

Resource 13, Diagnostic Resources

"Use of Needs Assessment in Organizational Development Work"

"Considering Multiple-Entry Strategies"

"Toward Building a Relationship"

"Diagnosis"

Resource 14, Checklist for Planning Organizational Development Work

Resource 15, Dilemmas of the PETC-III Trainee

Resource 16, The Phases of Consultation as Major Kinds of Work (II)

Part II: Reporting Organizational Development Plans 3 hours

Do the following in your LG:

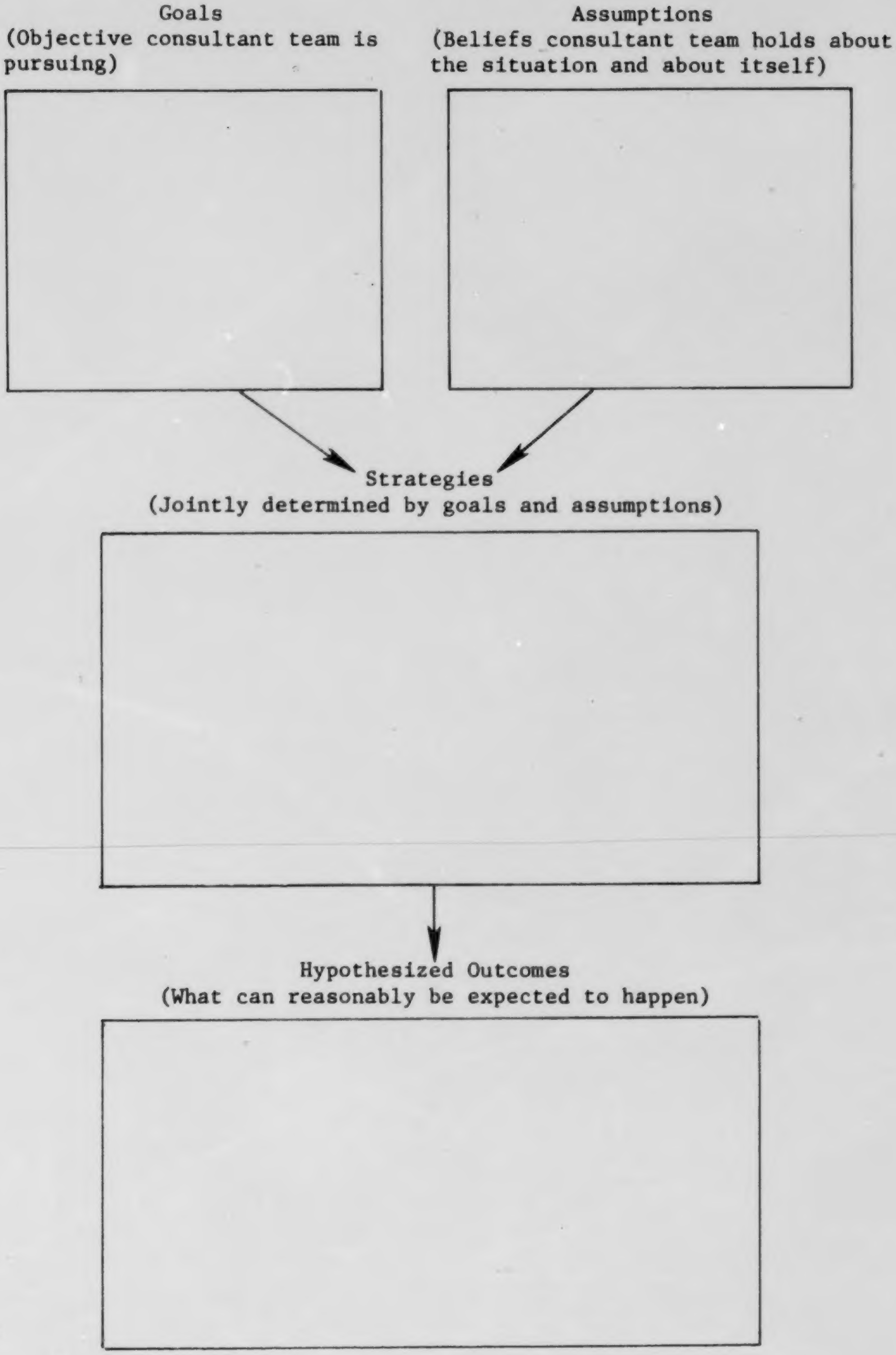
Presenter:	Manage your presentation Make explicit the kind of help you want, if any Present your report on newsprint
Consultants:	Watch out for implicit (unspoken) goals and assumptions Watch out for discrepancies or mismatches between stated goals, assumptions and strategies Be ready to give feedback on how well the presenter made use of PETC-III concepts

Provide the information called for on these pages. The information you write here should be based on your analysis of your organizational data. Be as concise as possible. Include enough information to enable the members of your LG to understand your plans more readily.

The Situation

NOTE: As you proceed to the next page, remember to write goals in concrete terms and using action verbs. These are consultant goals (what the consultants are going to do, not what the client is going to do).

Procedure 20, Page 4
Activity 12
Third Meeting



Goals
(Objective consultant team is pursuing)

Assumptions
(Beliefs consultant team holds about the situation and about itself)

Strategies
(Jointly determined by goals and assumptions)

Hypothesized Outcomes
(What can reasonably be expected to happen)

Resource 23: Checklist of Some Important Concepts from PETC-III

Discussion of each of these concepts can be found in the central ideas book.

Phases of the Consultation Relationship for Planned Change (Figure 13, page 167)

Differential Diagnostic Matrix (Figure 15, page 180)

Level of System

Operational Characteristics

Functions

Differential Intervention Matrix (Figure 16, page 200)

Kind of Problem-Solving Process

Facilitating Roles of the Consultant

Intervention Strategies, Procedures and Techniques

Characteristics of Key Functions (page 55)

Summary of the Organizational Health Concept (Figure 7, page 70)

Substantive *Versus* Dynamic Issues (pages 102)

Five Alternative Emphases in Working with Organizations (pages 103)

Organizational Maturity and Variables to Consider in Facilitating Interventions (Figure 11, page 127)

Complex Systemic Change (pages 138)

Identifying and Defining System and Subsystem Boundaries (pages 152)

Power and Organizational Politics (pages 153)

Issues of Entry (pages 156)

Utilizing Muliple-Entry Strategy (pages 160)

Changing Formal and Informal Structure of the Organization (pages 162)

Changing Norms in an Organization (pages 163)

Procedure 21: Intervention Case Papers

Intervention Case Paper 1

Individually complete this assignment before the Fourth Meeting. Use work sheets that follow. Prepare extra copies on NCR paper for use in Procedure 22.[1] Review Resource 22, The Organizational Development Consultant as Theorist (I).

A. Select a situation in which you attempt to influence, educate or change another person or persons. The situation should be one that you see as genuinely challenging for yourself and of significance to your professional development. Select a situation in your PETC-III OD work that you have already experienced, are currently facing or anticipate facing. THE SPECIMEN PRESENTED IN THE SCRIPT SHOULD BE THAT PORTION OF THE INTERCHANGE WHICH MOST CLOSELY REFLECTS YOUR GOALS, ASSUMPTIONS AND STRATEGIES. If possible, tape the conversation with the client and use passages verbatim.

B. Describe the situation.

C. Using PETC-III concepts, briefly indicate the diagnosis you have made of this situation.

---

[1] Trainees may wish to use a duplicating machine such as Xerox or Thermofax instead.

D. State your goals or objectives.

E. In the format shown below, present one or two pages of dialogue between yourself and the other person(s) in the situation. The script requested below is the specimen you are asked to present and should be that portion of the interchange that most clearly reflects your goals, assumptions and strategies.

Sample of Script Format

Dialogue	Underlying thoughts and feelings
Me:	
Other:	
Me:	
Other:	

The left-hand column should contain an actual script for a conversation between yourself and the other person(s) in the situation. The right-hand column should indicate the underlying thoughts, feelings, inferences, etc., that you would be having during the course of the dialogue. Please try to write a dialogue that is representative of the important issues you see yourself facing in the situation. (Continue on the following page.)

Script

Dialogue	Underlying thoughts and feelings

Dialogue	Underlying thoughts and feelings

F. Specify what you think your basic strategies were for achieving your objectives.

G. What assumptions underlie your strategies?

H. How would you evaluate your intervention? Where did you succeed and why? Where were you unable to achieve your goals and why?

Intervention Case Paper 2

Individually complete this assignment before the Fourth Meeting. Use the work sheets that follow. Prepare extra copies on NCR paper for use in Procedure 22.[1] Review Resource 22, The Organizational Development Consultant as Theorist (I).

A. Select a situation in which you attempt to influence, educate or change another person or persons. The situation should be one that you see as genuinely challenging for yourself and of significance to your PETC-III OD work that you have already experienced, are currently facing or anticipate facing. THE SPECIMEN PRESENTED IN THE SCRIPT SHOULD BE THAT PORTION OF THE INTERCHANGE WHICH MOST CLOSELY REFLECTS YOUR GOALS, ASSUMPTIONS AND STRATEGIES. If possible, tape the conversation with the client and use passages verbatim.

B. Describe the situation.

C. Using PETC-III concepts, briefly indicate the diagnosis you have made of this situation.

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[1] Trainees may wish to use a duplicating machine such as Xerox or Thermofax instead.

D. State your goals or objectives.

E. In the format shown below, present one or two pages of dialogue between yourself and the other person(s) in the situation. The script requested below is the specimen you are asked to present and should be that portion of the interchange that most clearly reflects your goals, assumptions and strategies.

Sample of Script Format

Dialogue	Underlying thoughts and feelings
Me:	
Other:	
Me:	
Other:	

The left-hand column should contain an actual script for a conversation between yourself and the other person(s) in the situation. The right-hand column should indicate the underlying thoughts, feelings, inferences, etc. that you would be having during the course of the dialogue. Please try to write a dialogue that is representative of the important issues you see yourself facing in the situation. (Continue on the following page.)

Script

Dialogue	Underlying thoughts and feelings

Dialogue	Underlying thoughts and feelings

F. Specify what you think your basic strategies were for achieving your objectives.

G. What assumptions underlie your strategies?

H. How would you evaluate your intervention? Where did you succeed and why? Where were you unable to achieve your goals and why?

FOURTH MEETING

Activity 13: Evaluating Intervention Theories

Purpose: To help trainees increase their ability to identify discrepancies between what they say they are going to do and what they actually do. To help trainees increase their skills as theorists in OD work.

Objectives: Given the materials listed below, each TU will evaluate the intervention case study of another TU and conduct a dialogue in a fishbowl setting to receive feedback from others.

Time	Agenda	Materials
35 min.	1. Introduce activity	A13, Evaluating Intervention Theories
15 min.	2. Introduce Resource 22 and read Resource 24	R22, The Organizational Development Consultant as Theorist (I) R24, The Organizational Development Consultant as Theorist (II)
10 min.	3. Introduce Procedure 22	P21, Intervention Case Papers P22, Intervention Case Study P23, Intervention Case Form
60 min.	4. Prepare case study	P21 P22 (Part I) P23
90 min.	5. Reconstruct intervention theory	P22 (Part II) R22 R24 P23 P21
3 hours	6. Conduct report and dialogue	P22 (Part III) P21 P23

Resource 24: The Organizational Development Consultant as Theorist (II)[1]

If the theories of applied behavioral scientists are rudimentary, client theories are more rudimentary still, and OD professionals have provided them with little help to develop better theories--partly because many OD professionals do not have an explicit and consistent theory of their own. The lack of such a theory (a) increases the likelihood that their behavior will depart from their espoused values and (b) makes it very difficult for them to help clients develop cognitive clarity.

Cognitive clarity--in both OD consultants and clients--is critical because of the important functions that an effective theory of action can serve, functions that are not likely to be carried out effectively in the absence of such a theory.

First, the real world is impossibly complex, and it cannot be negotiated without the use of concepts and theories. People have no choice but to theorize--the question is simply whether the concepts they use and the assumptions they make provide an optimal map of the world they need to negotiate.

Second, reasonably consistent and integrated theories provide guidance to individuals when they encounter significant choice-points. Such guidance makes it much more likely that the choices made will form a coherent pattern that is validly linked to the individuals' basic goals.

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[1] Reproduced by special permission from *Theory and Method in Organization Development: An Evolutionary Process.* Edited by John Adams. © 1974, NTL Institute for Applied Behavioral Science, Arlington, Virginia.

Third, effective theories build in tests of their own validity by being explicit about (a) the predictions they make at significant choice-points, and (b) the assumptions that underly these predictions. When experience proves inconsistent with prediction, the individuals are clearly alerted to problems in either their theories or the consistency between their theories and behavior. When people are not explicit about their predictions at significant choice-points, their theories are empty in the sense that they cannot be invalidated and the individuals cannot learn.

Fourth, effective theories are communicable to others. Communicability opens theories to the possibility of dialogue and increases the probability that theorists can learn from others. It is particularly important for consultant theories to be communicated in forms that clients understand so that the clients can make intelligent choices about whom to use as consultants.

If you grant the importance of helping clients develop better personal theories of action, certain questions emerge concerning what a theory of action is, what differentiates effective and ineffective theories of action and the methods that can be used to help people become better theorists. The remainder of this resource is addressed to these questions.

Theories of Action

Any behavior can be viewed as implying a theory of action that includes at least the following elements:

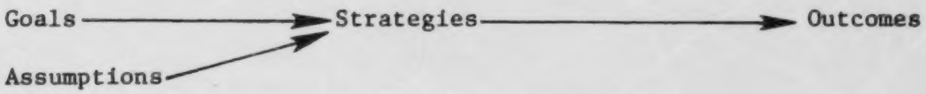
1. Goals. Goals are simply events or conditions that are preferred by the actor over other events or outcomes.

2. Assumptions. Assumptions are beliefs or hypotheses about the world--they may be about oneself, about people, about situational contingencies, etc.

3. Strategies. Strategies are here defined as recurrent patterns of behavior, as things that the actor does repeatedly or consistently.

4. Outcomes. Outcomes are simply consequences of an interaction.

A simple model of the relationship between goals, assumptions, strategies and outcomes is:



In other words, the actors begin with a set of goals they hope to achieve and a set of beliefs which they hold. These goals and beliefs jointly determine the strategies used, and the strategies produce outcomes (which may be congruent or noncongruent with the original goals).

Methods for Training the Client as Theorist

People have theories about all sorts of things, but few people view themselves as theorists. Therefore, most people cannot respond directly to a question in the form, "What is your theory of X?" (X might be "organization development," "management," "watching television," or something else.) It does not help that the concept of *theory* is popularly associated with such adjectives as "abstract," "impractical," "intellectual" and "hard to understand."

Two influential theoretical approaches in social psychology converge to suggest a route. The self-perception theory (Bem, 1967) suggests that persons determine their beliefs and attitudes at least in part by making inferences from their own behavior (e.g., "I must enjoy television because I watch it a lot."). The attribution theory suggests that each of us makes inferences about the beliefs and attitudes of others by watching their behavior. This suggests the possibility that an individual can be helped to explicate his/her own theories-in-use through a dialogue between himself/herself and others which centers on trying to make inferences from his/her behavior.

To provide a starting point for such a dialogue, it is helpful to ask the client to write a paper which can be called a "microtheory paper" or an "intervention case paper." The client is asked to write this paper from a set of instructions similar to those in Procedure 21.

Reference

Bem, Daryl J. "Self-Perception: An Alternative Interpretation of Cognitive Dissonance Phenomena," *Psychological Review.* 74(3): 183-200; 1967.

Procedure 22: Intervention Case Study

This procedure utilizes the Intervention Case Papers (Procedure 21) that you were asked to produce prior to this PETC-III meeting.

Part I: Preparation of Case Study

60 min.

Work in the TU and select one case study, as follows:

A. Exchange your work on Procedure 21 and get acquainted with the other person's case papers.

B. Clarify and discuss each person's work and select one case paper in order to continue with the procedure. Use your own criteria for selecting one.

C. Study your selection. If you think the dialogue (script) is not sufficiently explicit or the statements of goals, assumptions and strategies do not adequately reveal or reflect the intentions of the consultant, make additions or corrections.

Go over this material carefully. Keep thinking about the team that will participate in a dialogue with you--are you giving the team the kind of information that will enable it to help with your theory reconstruction?

D. After you are satisfied with all the component parts of your case study, transfer your statements of goals, assumptions and strategies to the appropriate pages in Procedure 23. Do not write below the broken line in each box. Please print to facilitate reading. Prepare extra copies on NCR paper for observers and the other TU.[1] Do not write in the box labeled "Hypothesized Outcomes"--the other TU in dialogue with you will fill out this box.

E. You will give your case study to another TU. It will reconstruct your theory. Be sure you have ready copies of Procedures 21 and 23 for the other TU and for observers.

Part II: Reconstruction of Intervention Theory

90 min.

A. Give all copies of your case study to the TU that has been assigned to reconstruct your espoused theory.

---

[1] Trainees may wish to use a duplicating machine such as Xerox or Thermofax instead.

B. When you have received the case study assigned to you, follow Steps 1, 2 and 3 for reconstructing the other TU's espoused theory in your TU. Be sure to refer to Resources 22 and 24 in doing this work.

1. Check the espoused theory.

   Compare the statements of goals, assumptions and strategies against the script and underlying thoughts and feelings.

   Determine what goals, assumptions and strategies seem to be implicit. What seems to be going on in the script that makes you think there are implicit goals, assumptions or strategies? What inconsistencies do there appear to be between statements of goals, assumptions and strategies and what actually happened in the script? Are there discrepancies between what the consultant says he/she intends and what he/she does?

   If you think the script does not give you sufficient data and you cannot make inferences, interview the other TU to get more information about what it did. Limit this interview to 10 minutes.

2. Reconstruct the other TU's espoused theory.

   Using Procedure 23, write what you think are IMPLICIT goals, assumptions and strategies below the appropriate boxes, including the copies for observers.

   Do not suggest what might have been done.

   Do not project beyond the information in front of you (Procedure 21 and Procedure 23).

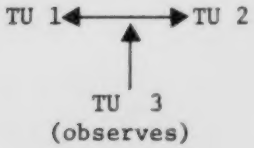
   In reconstructing the theory, remember to pay attention to the column entitled "Underlying thoughts and feelings." These data are important for inferring IMPLICIT goals, assumptions and strategies.

3. Take at least 10 minutes to plan a strategy for presenting your reconstructed theory and engaging the other TU in dialogue.

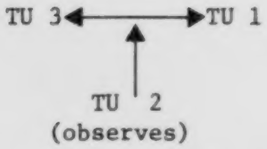
Part III: Report and Dialogue

3 hours

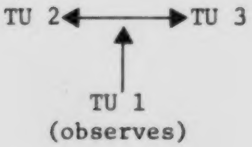
First Round



Second Round



Third Round



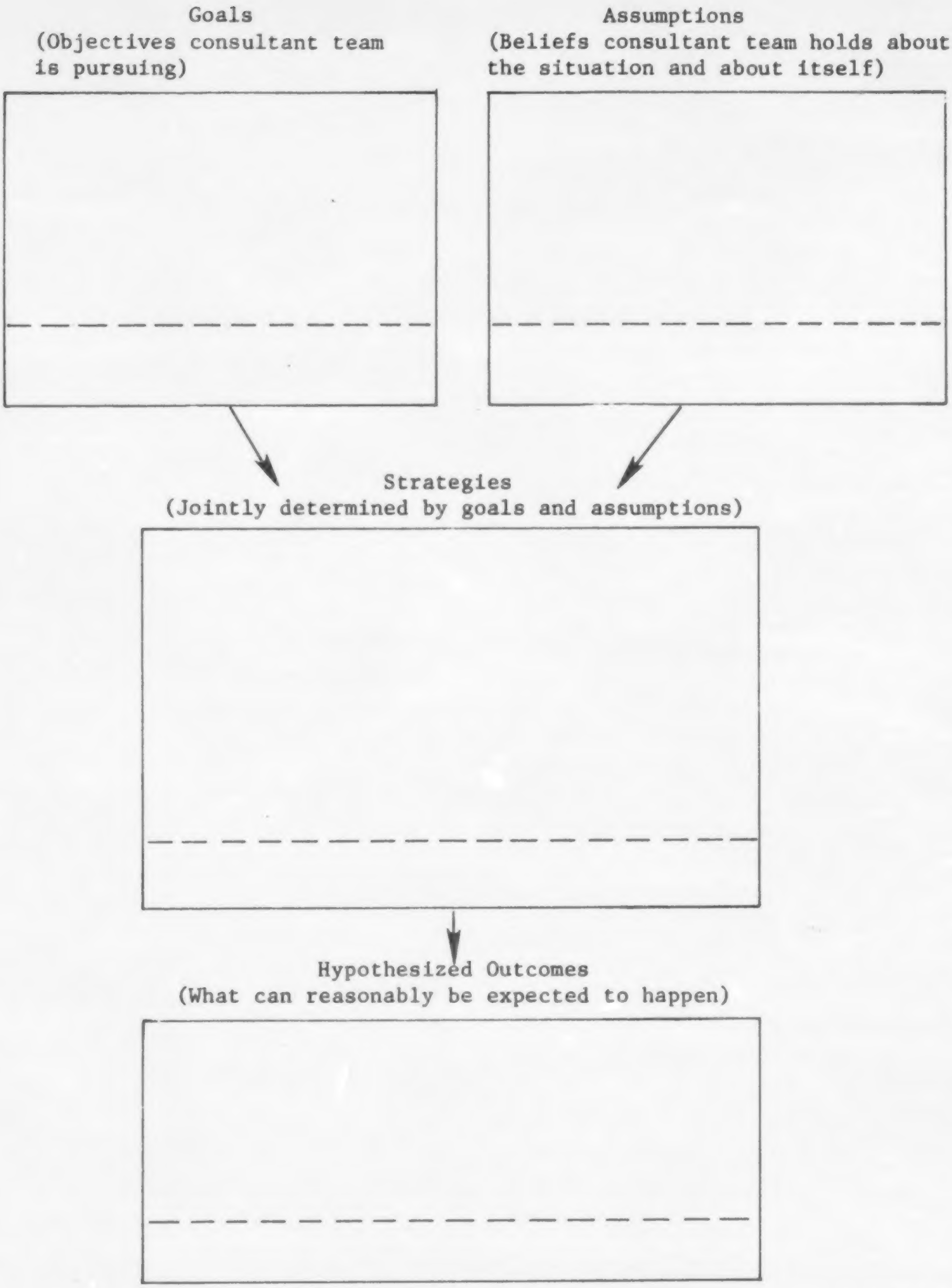
Each round will last 60 minutes--45 minutes for reporting the reconstructed theory and conducting a dialogue, and 15 minutes for receiving the observation report.

Reminders

1. Be sure observers get copies of Procedure 21 and Procedure 23.

2. The primary task of the observer is to pay attention to process issues in the reporting and dialogue. However, the observer may notice additional goals, assumptions and strategies that are implicit. These should be reported.

Procedure 23: Intervention Case Form



Goals
(Objectives consultant team is pursuing)

Assumptions
(Beliefs consultant team holds about the situation and about itself)

Strategies
(Jointly determined by goals and assumptions)

Hypothesized Outcomes
(What can reasonably be expected to happen)

Activity 14: Introducing the Process of Designing

Purpose: To enable trainees to increase their awareness of the process of designing. To provide a way for trainees to practice designing skills.

Objectives: Given the materials listed below, trainees will form design teams and utilize all materials provided to produce a design for a one-day event.

Given the design produced by each team and given a set of procedures, design teams will report their work and discuss their design experiences and what these experiences mean to them.

Time	Agenda	Materials
5 min.	1. Introduce activity	A14, Introducing the Process of Designing
20 min.	2. Read Resource 25	R25, The Design Process as a Problem-Solving Journey
10 min.	3. Form design teams	
20 min.	4. Warm up to creative problem solving	Newsprint Pens
10 min.	5. Introduce Procedure 24 and Resource 26	P24, Design for a One-Day Event R26, The Universal Travel Agency
4-5 hours	6. Design an event	P24 R25 R26
2 hours	7. Share designs and discuss the experience	P25, Discussion of Designing Experience

Resource 25
Activity 14
Fourth Meeting

Resource 25: The Design Process as a Problem-Solving Journey

Refer to Koberg, Don and Jim Bagnall. *The Universal Traveler*. Los Altos, California: Kaufmann. 1974, pages 16-28.

Procedure 24: Design for a One-Day Event

The Task of Your Design Team

4-5 hours

To produce a design for a one-day event:

Utilize the information included on the other pages of this procedure

Use the guidelines provided in Resource 25, The Design Process as a Problem-Solving Journey, and Resource 26, The Universal Travel Agency, as needed

The purpose of the procedure is to give you an opportunity to:

Practice design skills

Show how you would incorporate PETC-III concepts into this kind of event

PLAN A REPORT OF YOUR DESIGN THAT CAN BE PRESENTED IN A MAXIMUM OF 10 MINUTES

BE PREPARED TO DISCUSS YOUR EXPERIENCE OF DESIGNING (WHAT HAPPENED TO YOU, HOW YOU FEEL ABOUT YOUR DESIGN EXPERIENCE AND WHY)

The Situation in the Design Team

Your Situation

You have recently completed the PETC-III training and have had modest success in your work with the Personnel Department of the Green Pastures School District Central Office.

The assistant superintendent for professional development, who authorized your training, has become very interested in what you did and has initiated a conversation to test your interest in contracting for a more ambitious OD effort.

You told the assistant superintendent you would be interested in such an exploration. The superintendent agreed to invite the entire Central Office professional staff to a one-day meeting, to explore what would be involved in a two-year OD project in the district. You have agreed to design and conduct the meeting.

Your Purpose

Your goal is to produce and carry out a design for a one-day (7½-hour) event that will persuade a group of educational administrators to contract with you to spend the necessary time, money and energy to conduct a two-year OD effort in the Green Pastures School District.

The Kind of Work You Believe You Are Doing

You believe you are in the opening stages of making another entry into this system and that during this day you will be starting to build relationships with a potential client system.

You believe your work with the director of the Personnel Department will be a force working for you during the meeting.

For two reasons, you think you should include in your design some initial way of creating awareness of the need for change:

1. So this work can be under way in case you get the contract
2. Because the OD concepts that you want to share may have more relevance in the context of awareness of desirable changes

The Situation in the School District

The situation surrounding the one-day event is outlined in the memo (on page 4 of this procedure) from the assistant superintendent for professional development.

Your notes below are based on informal conversations with Central Office staff, personal observations and your understanding of PETC-III concepts (these are all in formal data; you have made no systematic effort to secure information).

> The district has good procedures on paper for planning and communicating among people and groups, but the procedures don't always get implemented
>
> The district has all the functions it needs to "have school"--therefore it is probably in the adult stage of growth
>
> The district seems to make decisions and respond to issues in terms of its own experience--therefore it is probably mainly in the opinionated stage of maturity
>
> You have noticed that on other occasions when consultants have been hired they have generally been received in a somewhat hostile, suspicious manner

The School Board wants to involve the whole community in greater influencing of decision making, but this effort isn't very successful because no one seems to have the responsibility needed to make it work

The district has always been successful in getting school levies passed, but lately some members of the business community and retired people have become more resistant to budget increases

Teachers are becoming more insistent that they be heard regarding teaching conditions, salaries and influence on decision making; this is a new experience for the School Board and the Central Office staff, and they are confused about how to respond

GREEN PASTURES SCHOOL DISTRICT
11357 Clear Creek Road

Office of the Director of
Professional Development

October 1, 1974

MEMORANDUM

TO: The Design Team

aw

FROM: Dr. Adam Whitecloud, Assistant Superintendent

RE: Exploring possibilities for a two-year OD effort in the Green Pastures School District

This memo will follow up our telephone conversation of last week. I am delighted that you are interested in working with us for a day to explore the potential for an OD effort in the Green Pastures School District.

Here, as you requested, is what I have found out:

> Superintendent Bluelake is very interested in the idea and is ready to put the influence of her office behind the effort if the Central Office staff indicates its interest.
>
> The superintendent has also indicated that she would be happy to participate in trying to secure funding for some organizational work. She thinks there may be some problem here.
>
> Of the 15 people who will be in the meeting, 6 know something about OD work and would probably support an OD effort.
>
> The rest of the people who will be present simply do not know what is involved in OD work; they neither support nor resist the idea.
>
> As you requested, only those people on the staff who expressed an interest in exploring whether OD work is a good idea for us will be present--five people said they were not interested in talking about OD work at this time.

As we agreed, the meeting will be held on the 15th--2 weeks from now. I have arranged for us to use the third floor Blue Skies Lounge from 8:30 a.m. to 5:00 p.m. It should be very comfortable. Also, I have made arrangements for coffee and doughnuts in the morning and soft drinks and fruit in the afternoon. We have reserved the Sun and Rain Room in the cafeteria for lunch.

If there is any other way in which I can facilitate your preparations, please do not hesitate to phone or drop by to see me.

Resource 26: The Universal Travel Agency

Refer to Koberg, Don, and Jim Bagnall. *The Universal Traveler.* Los Altos, California: Kaufmann. 1974, pages 30, 31-33, 34-37, 46-47, 59-61, 66-67, 74-75, 80-81, 94-95 and 121-123.

Procedure 25: Discussion of Designing Experience

Part I: Design Team Presentation of Reports

60 min.

The purpose of the sharing is to make the designs public so that in the discussion to follow appropriate reference can be made to the designs.

Each team will present its design in turn. A maximum of 10 minutes will be granted for each report.

Part II: Discussion on the Experience of Designing

60 min.

The purpose of the discussion is to clarify and derive meanings from the experience of designing; the relative merits or quality of the designs is irrelevant to the purpose of the discussion and should be avoided. In your conversation, discuss such questions as:

> What did you learn about yourself as a designer--as a creative problem solver?
>
> What feelings did you experience?
>
> How did your feelings change with the various parts of the process?
>
> How did you feel about your partner and your relationship while producing your design?
>
> Did you experience moments of "being stuck?" How did you resolve them? How did they come about?
>
> Did you experience moments of spontaneity? How did you utilize them? How did they come about?
>
> What is your feeling about your design? Why do you feel this way?
>
> Was this process similar to processes you have used before?
>
> What thing(s) did you do today in a way different from the way in which you did things in previous design experiences?

DURING THE CONVERSATION, PLEASE OBSERVE THE GROUND RULES LISTED BELOW.

CONFINE YOUR RESPONSES TO THE QUESTIONS MENTIONED ON PAGE 1 OF THIS PROCEDURE

MAKE YOUR RESPONSES TO QUESTIONS IN THE FORM OF SELF-REPORTS, e.g., "I felt that...," "My relationship to my partner was..." and "I learned that when designing I...."

RESPOND TO EACH OTHER BY ADDRESSING YOURSELF TO EACH OTHER'S SELF-REPORTS AND BY USING SKILLS SUCH AS PERCEPTION CHECK, BEHAVIOR DESCRIPTION, ETC.

Activity 15: Planning Organizational Development Work (IV)

Purpose: To make plans for OD work. To increase ability to evaluate espoused theories and provide feedback data for reconstructing theories in action. To increase ability to design interventions.

Objectives: Given the materials listed below, trainees will make plans for their OD work between the fourth and fifth meetings, will engage each other in a dialogue about their intervention theories and will provide feedback on their theories in action.

Time	Agenda	Materials
5 min.	1. Introduce activity	A15, Planning Organizational Development Work (IV)
15 min.	2. Read Procedure 26, Procedure 27 and Resource 27; introduce Procedure 28	P26, Guidelines for Planning Organizational Development Work (IV) R27, List of PETC-III Resource Papers P24, Design for a One-Day Event The CI R22, The Organizational Development Consultant as Theorist (I) R24, The Organizational Development Consultant as Theorist (II) R23, Checklist of Some Important Concepts from PETC-III R25, The Design Process as a Problem-Solving Journey R26, The Universal Travel Agency P27, Intervention Theory (III) P28, Premeeting Assignment for Summarizing PETC-III Organizational Development Work
3 hours	3. Plan OD work	P26 (Part I) P27
3 hours	4. Report plans	P26 (Part II)
BEFORE THE FIFTH MEETING:		
	5. Do Procedure 28	P28

Procedure 26: Guidelines for Planning Organizational Development Work (IV)

PLANNING ACTIVITIES BETWEEN THE FOURTH AND FIFTH MEETINGS

Part I: Planning Organizational Development Work

3 hours

Do the following:

A. Check resources and procedures.

Resource 27, List of PETC-III Resource Papers

Procedure 14, Checklist for an Organizational Development Consultant

B. Review and study:

The Central Ideas of PETC-III in *Organizational Development in Education*

Resource 22, The Organizational Development Consultant as Theorist (I)

Resource 24, The Organizational Development Consultant as Theorist (II)

Resource 23, Checklist of Some Important Concepts from PETC-III

Resource 25, The Design Process as a Problem-Solving Journey

Resource 26, The Universal Travel Agency

Resource 27, List of PETC-III Resource Papers

C. Plan your OD work between the fourth and fifth meetings and prepare a report to the LG.

1. State your espoused theory on Procedure 27 and on newsprint

OR

2. Design a particular event in your plans

OR

3. State where you are in your OD work and what your intentions are

Part II: Reporting Organizational Development Plans

3 hours

Do the following:

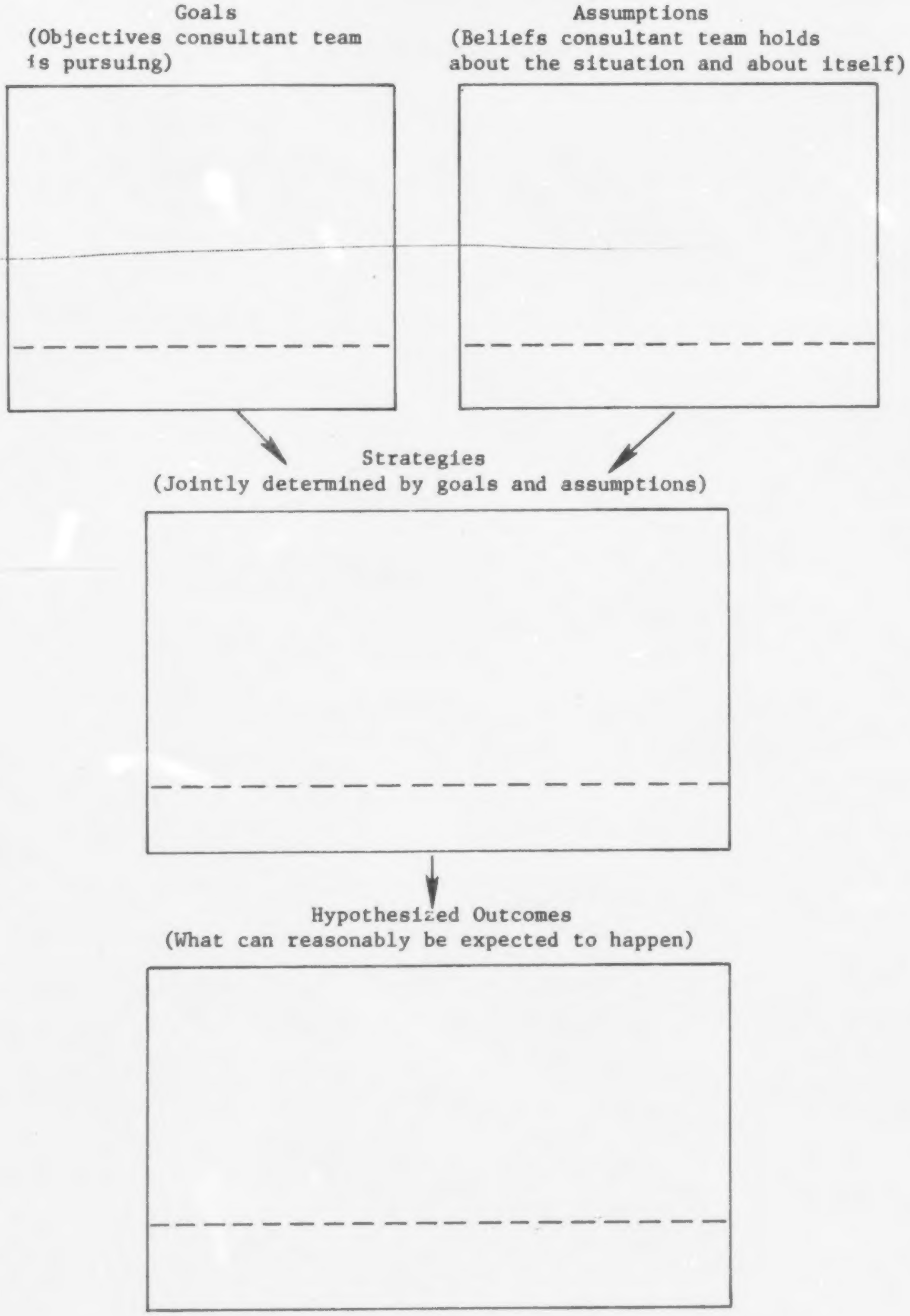
Presenter	Consultant
Manage your presentation	Watch out for implicit goals, assumptions and strategies
Make explicit the kind of help you want	Watch out for discrepancies between stated intentions and proposed actions
Present your report on newsprint	Watch out for inconsistencies in the design
	Give feedback on the use of PETC-III concepts

Procedure 27: Intervention Theory (III)

Provide the information called for on these pages. The information you write here should be based on your analysis of your organizational data. Be as concise as possible. Include enough information to enable the members of your LG understand your plans more readily.

The Situation

NOTE: As you proceed to the next page, remember to write goals in concrete terms and using action verbs. These are consultant goals (what the consultants are going to do, not what the client is going to do).


Goals
(Objectives consultant team is pursuing)
Assumptions
(Beliefs consultant team holds about the situation and about itself)
Strategies
(Jointly determined by goals and assumptions)
Hypothesized Outcomes
(What can reasonably be expected to happen)

Resource 27
Activity 15
Fourth Meeting

Resource 27: List of PETC-III Resource Papers

Resource	Title
1	Forming Learning Groups
2	Critical Issues in the Phases of Consultation
3	Tailoring Organizational Development Interventions for Schools
4	Major Kinds of Problem Solving
5	Differential Intervention Matrix
6	Differential Diagnostic Matrix
7	Growth and Maturity Possibilities for a Human System (I)
8	Growth and Maturity Possibilities for a Human System (II)
9	Summary of the Organizational Health Concept
10	How Things Are in Own Organization
11	Organizational Development/Intelligence Quotient Questions
12	PETC-III Training Requirements and Terminology
13	Diagnostic Resources
14	Checklist for Planning Organizational Development Work
15	Dilemmas of the PETC-III Trainee
16	The Phases of Consultation as Major Kinds of Work (II)
17	Using the Johari Window Model to Increase Awareness of Self as Consultant
18	Models and Their Functions
19	The Power of Abstraction--Model Building as a Way of Life
20	A Collection of Models

Resource	Title
21	PETC-III Models
22	The Organizational Development Consultant as Theorist (I)
23	Checklist of Some Important Concepts from PETC-III
24	The Organizational Development Consultant as Theorist (II)
25	The Design Process as a Problem-Solving Journey
26	The Universal Travel Agency
27	List of PETC-III Resource Papers
28	Intervention Chart
29	Building a Future for Your Consultant Self
30	PETC-II Descriptions
31	Table of Contents for *Organizational Development in Education*

Procedure 28: Premeeting Assignment for Summarizing PETC-III Organizational Development Work

Purpose of the Assignment

To provide a means to enable each of you to individually reflect on and to record a summary of your PETC-III work.

How the Assignment Will Be Used

Your summary and the use you and your TU make of it will provide a major resource in the preparation of the final report of your OD work (to be presented to your LG in the Fifth Meeting)

How to Respond to the Items in the Assignment

Respond to the assignment by using your own criteria based on your understanding of PETC-III concepts learned in your OD work and in the training meetings

PLEASE BRING ENOUGH COPIES FOR:

- Yourself
- Your teammate(s)
- Your trainers

MAKE YOUR COPIES LEGIBLE: TYPED COPY WOULD BE APPRECIATED

I. Important Things Done

A. List the most important things you did in your OD work.	B. Why do you think the things you listed for Item A are the most important?

II. Things Considered and Not Done

C. What were some major things you seriously considered doing in your OD work but decided not to do?	D. Give reasons why you decided not to do the things listed for Item C.

III. Mistakes Made

E. What did you do that you wish you had not done?	F. What would you do differently in any OD work you might do in the future?
In your relationship to your partner in the TU:	
In your work with the client system:	
Other:	

IV. Things Overlooked

G. What did you leave undone that now you think you should have done?	H. Why do you think so?

V. Value Dilemmas (See Resource 15)

I. Did you at any time in your OD work face value dilemmas?	J. How did you resolve the dilemmas?

The OD consultant's efforts might frequently be similar to those of the PETC-II consultant in working with the client system to recognize its needs, clarify its desires and objectively analyze its potential.

Organizational development work emerges clearly when the consultant begins to deal with structural and normative changes in order to build into the organization and to maintain improved ways of providing functions.

Whatever other changes in skills, procedures and human or technological resources might be introduced, OD always includes changes in structure and/or norms in order to make the use of these other changes result in improved functioning of the organization as a whole.

Statement of Your Accomplishments in Organizational Development

Recognizing that the PETC-III practicum constraints may not have allowed you to build into your organization and to maintain improved functioning, WRITE A STATEMENT THAT SETS FORTH WHAT YOU BELIEVE YOU HAVE ACCOMPLISHED IN YOUR OD WORK.

FIFTH MEETING

Activity 16: Reviewing Organizational Development Work

Purpose: To evaluate the progress made in OD work by each TU during the PETC-III training. To review PETC-III concepts relevant to evaluation of OD work done by the TU's

Objectives: Given material from the CI ("Substantive versus Dynamic Issues" in Chapter II and all of Chapter IV) and the other materials listed below, trainees will complete an analysis of the state of their organizations at the time of the fifth meeting and then, in their TU's, will prepare and present final reports of their OD work to the LG's.

Time	Agenda	Materials
5 min.	1. Introduce activity	A16, Reviewing Organizational Development Work
15 min.	2. Introduce Procedure 29	P28, Premeeting Assignment for Summarizing PETC-III Organizational Development Work P29, Final Report of Organizational Development Work
90 min.	3. Summarize OD work	P29 (Part I) P28 Chapter IV of the CI R13, Diagnostic Resources Chapter II of the CI (pages 102-108 only) CI, Figure 5, pages 57-63; Figure 11, page 127; Figure 14, page 174
2-3 hours	4. Prepare final OD report	P29 (Parts I and II) R2, Critical Issues in the Phases of Consultation P1, Analysis of Organizational Data R3, Tailoring Organizational Development Interventions for Schools
3 hours	5. Present final reports	P29 (Part III)

Procedure 29
Activity 16
Fifth Meeting

Procedure 29: Final Report of Organizational Development Work

Overview of the Work to Be Done

A. The work outlined here will take about 7 hours to complete. At the end of 7 hours, it is hoped that each TU will have produced and presented to its LG a final report of its work during this PETC-III training.

B. The procedure has three parts:

90 min.	Part I	Summarize OD work and analyze the present state of the organization. Base your work on data you produced for Procedure 28, Premeeting Assignment for Summarizing PETC-III Organizational Development Work.
2-3 hours	Part II	Prepare final report of OD work for the LG.
3 hours	Part III	Present final report to the LG. Plan your report so that it can be presented in 30-45 minutes. Allow 15-30 minutes for discussion.

Part I: Summary of Organizational Development Work

90 min.

A. Summarize your OD work and analyze the present state of your organization.

1. Individually complete your summary on Procedure 28 if necessary. When you are satisfied with your summary, distribute copies to:

   Your teammate(s)

   The trainers

   Yourself

2. In your TU, share your summaries and clarify as needed.

3. Analyze your organizational data (this step is a revision of Procedure 1 from the first meeting). In your TU, analyze the present state of your organization by doing the work called for on pages 3-8 of this procedure. As

you do the analysis, keep the resources listed below in mind and refer to them as necessary.

Procedure 28, Premeeting Assignment for Summarizing PETC-III Organizational Development Work

Chapter IV of the CI

Resource 13, Diagnostic Resources, pages 2-15 only

Figure 33 (pages 7-13 of Resource 21)

Figure 36 (page 16 of Resource 21)

Figure 39 (page 19 of Resource 21)

"Substantive versus Dynamic Issues" from Chapter II of the CI

5. What statement would you make in summarizing your analysis to show the appropriateness and relevance of your use of the intervention?

F. Design your presentation. Include introduction, stage setting, goals, steps, expectations, participant involvement, activities, etc.

List of Assignments

Beckhard, Richard. "The Confrontation Meeting," in *Social Intervention: A Behavioral Science Approach.* Harvey A. Hornstein, Barbara Benedict Bunker, W. Warner Burke, Marion Gindes and Roy J. Lewicki, editors. New York, New York: The Free Press. 1971, pages 213-222.

Blake, Robert R., Jane Srygley Mouton and Richard L. Sloma. "The Union-Management Intergroup Laboratory: Strategy for Resolving Intergroup Conflict," in *The Social Technology of Organization Development.* W. Warner Burke and Harvey A. Hornstein, editors. La Jolla, California: University Associates. 1976, pages 101-126.

Fordyce, Jack K., and Raymond Weil. *Managing with People: A Manager's Handbook of Organization Development Methods.* Reading, Massachusetts: Addison-Wesley. 1971, pages 114-116 (section on meetings for two).

Harrison, Roger. "Role Negotiation: A Tough Minded Approach to Team Development," in *The Social Technology of Organization Development.* W. Warner Burke and Harvey A. Hornstein, editors. La Jolla, California: University Associates. 1976, pages 84-96.

McElvaney, Charles T., and Matthew B. Miles. "Using Survey Feedback and Consultation," in *Organization Development in Schools.* Richard A. Schmuck and Matthew B. Miles, editors. Palo Alto, California: Mayfield. 1971, pages 113-138.

Oshry, Barry. "Power and the Power Lab," in *New Technologies in Organization Development: 1.* (Originally entitled *Contemporary Organization Development: Conceptual Orientations and Interventions.*) W. Warner Burke, editor. La Jolla, California: University Associates. 1975, pages 242-254.

Sherwood, John J., and John C. Glidewell. "Planned Renegotiation: A Norm-Setting OD Intervention," in *Contemporary Organization Development: Conceptual Orientations and Interventions*, W. Warner Burke, editor. La Jolla, California: University Associates, 1975. Used by permission of the authors and NTL Institute for Applied Behavioral Science. 1971, pages 35-46.

Part II: Making Presentation to the Total Group

6 hours

Time limit for each team is 40-50 minutes. Use the guidelines given below.

Manage design and presentation

Provide resources and materials

Guide the discussion

Debrief the session

Sample for instant data collection for debriefing of the session:

Results of this meeting were worthwhile

I was given adequate opportunity to state my beliefs about subjects discussed by the group

I am satisfied with the attention and consideration that others have given to my ideas and opinions

The group was aware of my knowledge of the subjects discussed

I expressed my feelings openly

Activity 18: Constructing Own Differential Intervention Matrix

Purpose: To provide an opportunity for trainees to determine where they are in acquiring skills and knowledge about intervention strategies and techniques in OD work.

Objectives: Given the materials listed below, trainees will produce their own versions of intervention matrices and will share and discuss these matrices in groups.

Time	Agenda	Materials
5 min.	1. Introduce activity	A18, Constructing Own Differential Intervention Matrix
15 min.	2. Read Procedure 31 and Resource 28	P31, Construction of a Differential Intervention Matrix R28, Intervention Chart R3, Tailoring Organizational Development Interventions for Schools Chapter III of the CI (pages 117-168) Chapter IV of the CI (pages 169-216) *Handbook of Organization Development in Schools* *Organization Development in Schools* (pages 7-13 only) *The Change Agent's Guide to Innovation in Education* (pages 169-172 only) R25, The Design Process as a Problem-Solving Journey R26, The Universal Travel Agency R20, A Collection of Models Work done in Activity 2 P17, Collection of Data from Self and Others
90 min.	3. Construct own differential intervention matrix	P31 (Part I) Newsprint Pens
30 min.	4. Display matrices and examine them	P31 (Part II)

Time	Agenda	Materials
90 min.	5. Share and discuss matrices	P31 (Part III)
	6. Hold gala celebration!	

Procedure 31: Construction of a Differential Intervention Matrix

Part I: Depicting Where You Are

90 min.

Your task is to construct your own intervention matrix (or any model that makes sense to you) and to prepare to share it with others in your LG.

A. Read, study, review and reflect as needed. Get ideas from the resources listed below.

Resource 3, Tailoring Organizational Development Interventions for Schools

Chapter III of the CI, Working at Organizational Development in Educational Systems, pages 117-168

Chapter IV of the CI, Diagnostic and Planning Tools, pages 169-216

Handbook of Organization Development in Schools[1]
(one of the best sources for selecting strategies and techniques)

Organization Development in Schools[2]
pages 7-13

The Change Agent's Guide to Innovation in Education[3]
pages 169-172

Resource 28, Intervention Chart

Resource 25, The Design Process as a Problem-Solving Journey

Resource 26, The Universal Travel Agency

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[1] Schmuck, Richard A., Philip J. Runkel, Steven L. Saturen, Ronald T. Martell and C. Brooklyn Derr. *Handbook of Organization Development in Schools*. Palo Alto, California: National Press Books, 1972, 436 pages.

[2] Schmuck, Richard A., and Matthew B. Miles. "Improving Schools through Organization Development: An Overview," in *Organization Development in Schools*, Richard A. Schmuck and Matthew B. Miles, editors. Palo Alto, California: National Press Books, 1971, pages 7-13.

[3] Havelock, Ronald G. *The Change Agent's Guide to Innovation in Education*. Englewood Cliffs, New Jersey: Educational Technology Publications, 1973, pages 169-172.

Resource 20, A Collection of Models

Work done in Activity 2, Part I of Analyzing Organizational Data

Procedure 17, Collection of Data from Self and Others

B. Construct your own differential intervention matrix. Decide the form your matrix (or any other model that makes sense to you) will take. Check examples of matrices and models provided throughout the entire PETC-III system. Remember, the differential diagnostic matrix gives you information about yourself. Print your matrix on newsprint. Your matrix should include information about strategies, techniques, procedures, tactics, etc., that you:

Know how to do and feel confident in doing alone

Know how to do but don't feel confident about doing alone

Know about and what to learn how to do

Part II: Sharing Your Matrix

30 min.

A. Post your matrix or matrices on the wall for all members of the training group to see and inspect.

B. Move around and look at the matrices. Get acquainted with them.

C. Concentrate on the matrices of members of your LG. Take note of aspects of their matrices that bring questions to your mind.

Part III: Discussing Matrices

90 min.

A. Conduct a discussion that will include clarification and elaboration of the work done with the matrices. The following questions may facilitate the discussion:

What were you thinking about while constructing your model?

What blocks did you experience?

What goals and assumptions are implicit?

How did you apply the differential intervention matrix to yourself?

Resource 28: Intervention Chart

This table is only suggestive and is designed to show a number of *potential* uses of various strategies and tactics. It is not a complete list.

	Stage I (Relationship)	Stage II (Diagnosis)	Stage III (Resource Acquisition)	Stage IV (Solution Choosing)	Stage V (Acceptance)	Stage VI (Stabilization and Self-Renewal)
Action Research		X[1]		X	X	
Authentic Feedback	X	XX	X	XX	XX	X
Brainstorming			X	XX		
Change Agent: External	X	XX	X	X	X	X
Change Agent: Internal	X	X	X	X	X	XX
Collaborative Action Inquiry	XX	XX	X	X	XX	X
Confrontation	X High Risk	X Some Risk			X High Risk	
Consultation	X	XX	XX	XX	X	X
Derivation Conference	X	X	XX	XX	X	
Diffusion, Natural					X	X
Experimental Demonstration			X	X	X Some Risk	
Fait Accompli					X High Risk	
Financial Support	X	X	X	X	X	XX
Force Field Analysis		XX		XX	X	
Group Observation/Process Analysis	X	X		X	X	X
Human Relations Laboratory	XX	X			X	
Interorganizational Visiting		X	XX	X	X	
Leadership Change	X	X		X	X	X
Legislated Change					X Some Risk	X
Linkage	XX	XX	XX	XX	XX	XX
Mass Media Dissemination			X	X	X	
Multiple Media Approaches	X	X	XX	X	XX	X
Network Building			X			X
Opinion Leadership Utilization	X			X	XX	

	Stage I (Relationship)	Stage II (Diagnosis)	Stage III (Resource Acquisition)	Stage IV (Solution Choosing)	Stage V (Acceptance)	Stage VI (Stabilization and Self-Renewal)
Overlapping Groups			X		X	XX
Packaging for Diffusion			X	X	X	X
Prestige Suggestion	X Sometimes				X Sometimes	
Problem Solving	X	XX	X	XX	XX	X
Product Development			X	X	X	X
R & D UNIT		X	X	X		X
RD & D			X	X	X	X
Reflection	XX Some Risk	XX	X	XX	XX	X
Research Evaluation	X	XX	X	X	XX	X
Role Playing	X	X			X	X
Rotation of Roles	X	X	X		X	
Sensitivity Training Group	X Some Risk	X			X Some Risk	
Successive Approximation				X	X	X
Survey Feedback		X		X		X[2]
System Self-Renewal	X	X	X	X	X	XX
Systems Analysis	X	XX	X	XX	X	X
Temporary Systems	XX	X		X	X Some Risk	
Training					X	X
Translation			X	X	X	X
User Need Surveys		X				X[2]

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[1] X= Relevant
XX= Especially Relevant

[2] Periodic survey feedback can be a part of building system self-renewal.

[3] Havelock Ronald G. *The Change Agent's Guide to Innovation*. Englewood Cliffs, New Jersey: Educational Technology Publications, 1973, pages 174-75.

Figure 44. Relevance of Strategies and Tactics for Stages of Change[3]

Activity 19: Building a Future for Your Consultant Self

Purpose: To assess the current situation of each trainee with reference to being an OD consultant. For each trainee to project desirable futures as OD consultants. To identify the importance and significance of OD work for each trainee.

Objectives: Given the materials listed below, trainees will identify and record their perceptions of their consultant selves and will project a desirable future for consulting in organizations.

Given a reflective assignment and a general discussion, trainees will identify and discuss the importance and significance of OD work for themselves.

Time	Agenda	Materials
30 min.	1. Introduce activity	A19, Building a Future for Your Consultant Self
15 min.	2. Introduce Procedure 32	P32, Your Future as a Consultant R28, Intervention Chart R29, Building a Future for Your Consultant Self R30, PETC-II Descriptions R31, Table of Contents for *Organizational Development in Education* P17, Collection of Data from Self and Others P18, The Giving and Receiving of Feedback About Consultant Self P31, Construction of a Differential Intervention Matrix
60 min.	3. Write a statement about present and future consultant selves	P32 (Part I) R28 R29 R30 R31 P17 P18 P31 R25, The Design Process as a Problem-Solving Journey R26, The Universal Travel Agency

Time	Agenda	Materials
3½ hours	4. Make appointments and then interview and be interviewed	P32 (Part II)
60 min.	5. Reflect and restate	P32 (Part III)
60 min.	6. Hold general discussion	P32 (Part IV)

Procedure 32: Your Future as a Consultant

Overview of the Work to Be Done

The training will conclude with an opportunity for you to reflect about where you are as a consultant and the kind of consulting futures you see as desirable. The procedure has four parts:

60 min.	Part I	Writing a statement of what is and what could be with your consultant self. A personal reflection of how you view your consultant self right now and possible futures for yourself. Preparation to consult with two others.
3½ hours	Part II	Interviewing and being interviewed. An opportunity to talk with at least two members of the group about your reflections.
60 min.	Part III	Further reflection and possible restatement.
60 min.	Part IV	General meeting. Time for sharing your statements.

Part I: Writing a Statement of What Is and What Could Be with Your Consultant Self

60 min.

The product of your work during this hour should be a statement about yourself as a consultant and about what you see as desirable futures for yourself as a consultant. Your product may take any form you wish it to take. Some possibilities are:

A needs assessment

A force field analysis of personal goals

An intervention case paper based on your own situation

As you prepare your statement, keep in mind Resource 28 and the following:

Focus on your consultant self--try to stand outside yourself and look at yourself

Reflect about your own needs, desires, interests and goals

Link your self-inquiry to critical incidents and decisions in your OD work

Identify specific points of inquiry you want to make when you consult with others during Part II (e.g., inquiry about your goals or aspirations, feedback about your skills or a specific response about your statement)

Here are examples of possible ways to make your inquiries:

"I want to improve my competence in ____________________. How do you see me functioning in this area?"

"What action steps do you suggest for achieving improvement in the area of __________________________?"

"Here are the next steps I plan to take in continuing my professional development. What reactions or suggestions do you have?"

"Here is the diagnosis I have made of myself as a consultant--give me your reactions."

The following resources may be useful to you:

Resource 29, Building a Future for Your Consultant Self

Resource 30, PETC-II Descriptions

Resource 31, Table of Contents for *Organization Development in Education*

Procedure 17, Collection of Data from Self and Others

Procedure 18, The Giving and Receiving of Feedback About Consultant Self

Procedure 31, Construction of a Differential Intervention Matrix

Resource 25, The Design Process as a Problem-Solving Journey

Resource 26, The Universal Travel Agency

Part II: Interviewing and Being Interviewed

3½ hours

Your product during this time will be the results of interviews you have with at least two members of the workshop. You, in turn, will probably have been interviewed by at least two others on their own behalf. EACH INTERVIEW SHOULD LAST 45 MINUTES.

A. Make appointments with the persons you want to interview. Record the appointments on the large chart that the trainers have provided. You may also want to keep your own record of your appointments (to interview and to be interviewed).

Names of My Interviewees	Times

Names of My Interviewers	Times

B. Proceed with the process of interviewing and being interviewed.

Part III: Further Reflection and Possible Restatement

60 min.

The products of this individual work will be:

Your statement, revised or not, depending on the results of your interviews

A one-minute statement as a contribution to the general meeting

A. Reflect upon the results of your interviews.

B. Revise and/or complete your statement. (Consider the use of analogies as suggested in the *The Universal Traveler.*)

C. Reflect upon the topic, "What OD work is and its significance for me."

D. Write a statement to contribute to the final meeting. Include any considerations of values orientations, biases, preferences, personal styles, etc. that seem appropriate.

Part IV: General Meeting

60 min.

You will be invited to share your statements and contribute to clarification of statements.

Resource 29
Activity 19
Fifth Meeting

Resource 29: Building a Future for Your Consultant Self

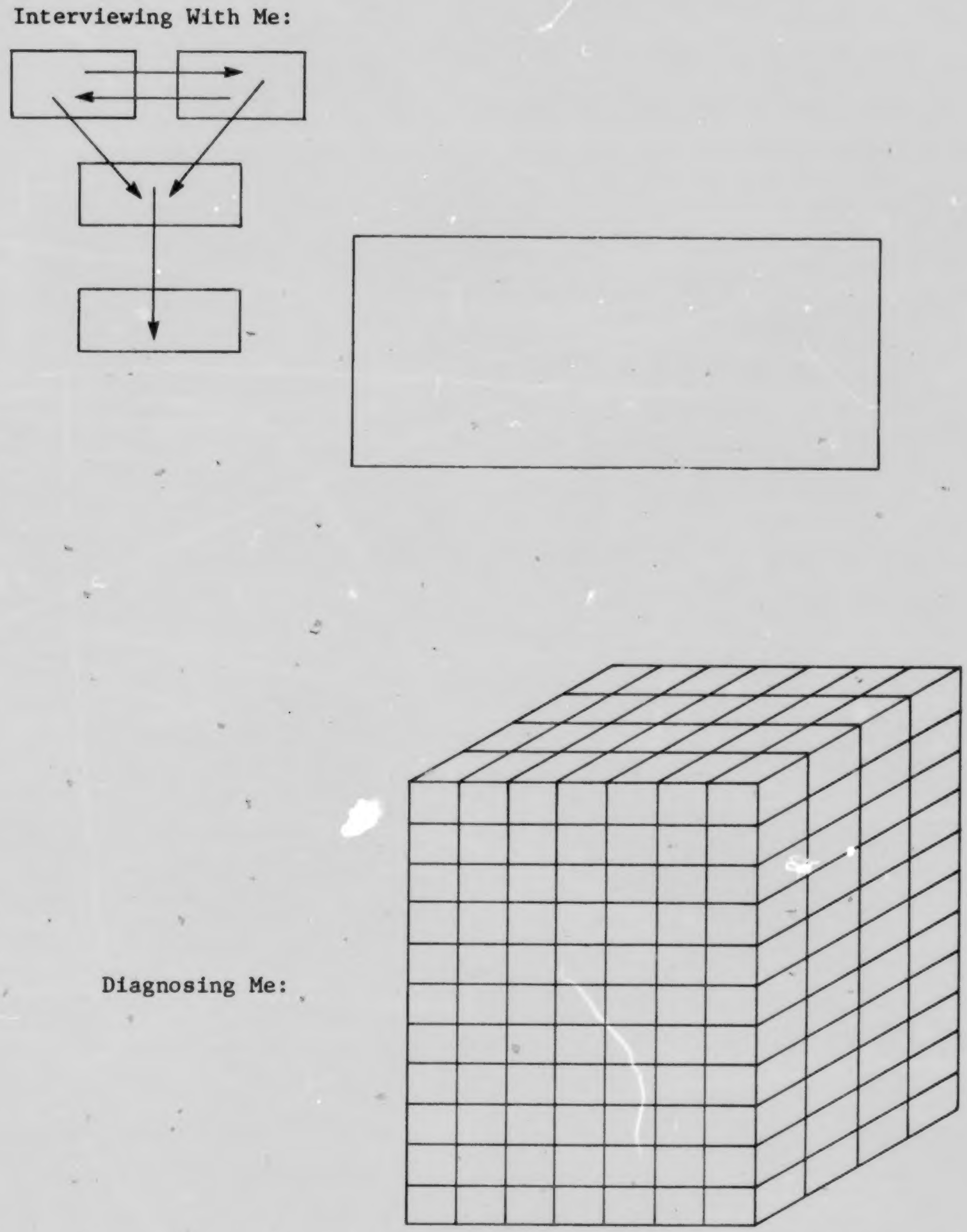
Interviewing With Me:
Diagnosing Me:

Figure 45. Building a Future for Your Consultant Self

Resource 30: PETC-II Descriptions

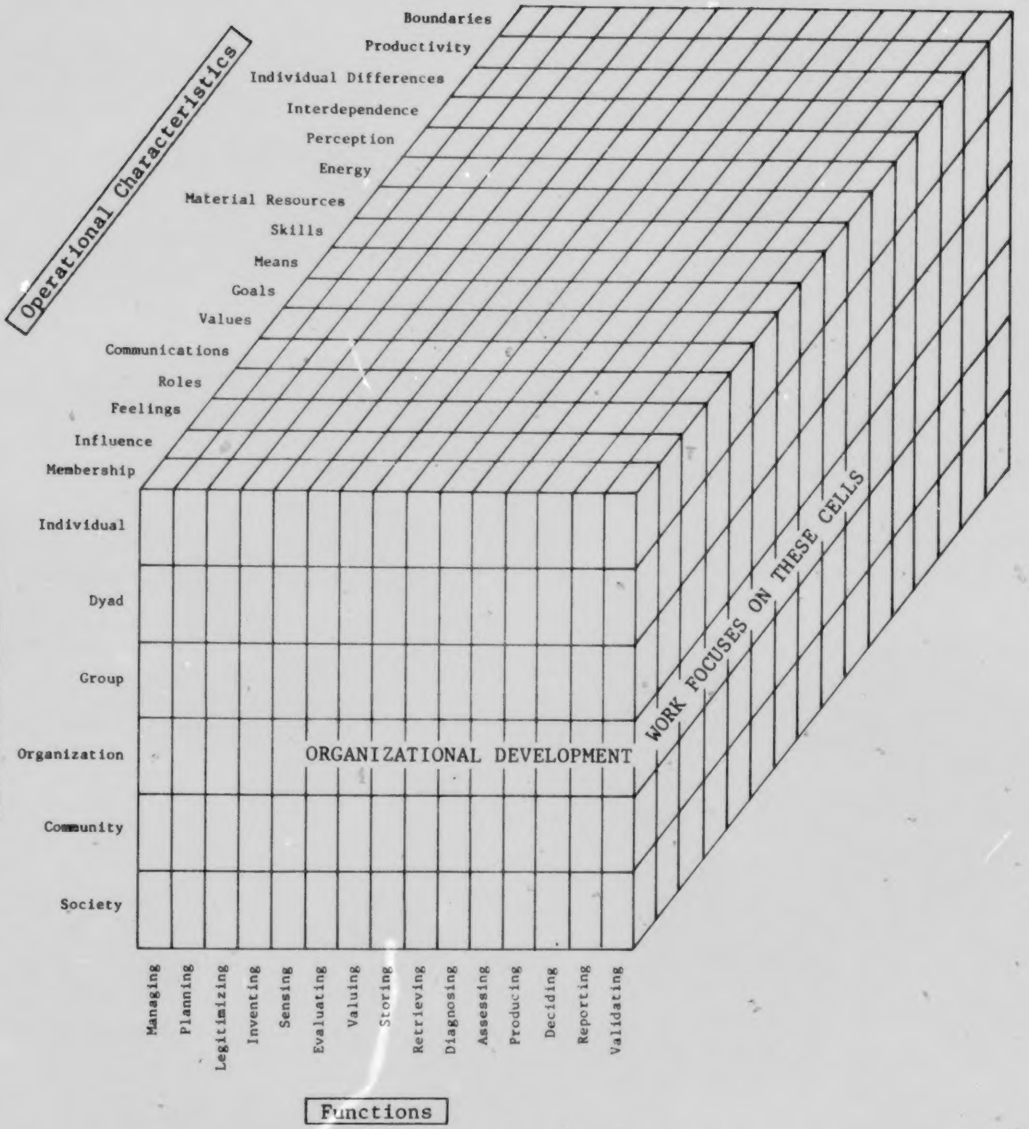
Operational Characteristics
Boundaries
Productivity
Individual Differences
Interdependence
Perception
Energy
Material Resources
Skills
Means
Goals
Values
Communications
Roles
Feelings
Influence
Membership
Level of System
Individual
Dyad
Group
Organization
Community
Society
ORGANIZATIONAL DEVELOPMENT
WORK FOCUSES ON THESE CELLS
Managing
Planning
Legitimizing
Inventing
Sensing
Evaluating
Valuing
Storing
Retrieving
Diagnosing
Assessing
Producing
Deciding
Reporting
Validating
Functions

Figure 46. Differential Diagnostic Matrix for Locating and Diagnosing Problems in Human Systems

Dimension 1: Levels of Human Systems

The differential diagnostic matrix focuses on six levels of human systems: individual, dyad, small group, organization, community and society. People may be functioning at any or all of these levels at any given moment. The interaction between these levels may be problematic. The processes within a level may produce problems. This dimension of the matrix provides a way to think about human systems. A description of each level follows.

Individual

A personality system composed of many subparts that are usually organized to enable individuals to respond to both internal and external conditions.

Dyad

A social unit of two individuals who develop patterns of response to each other (intradyad responses) as well as patterns of response to other levels of human systems (e.g., interdyad).

Group

A small social system of individuals, usually with a more-or-less distinct purpose (e.g., committees, clubs, staff and classes) and composed of many subparts, that responds to conditions internal to itself (intragroup) as well as conditions external to itself (intergroup).

Organization

A social unit of individuals, with a rather clearly defined and specialized function requiring a relatively disciplined and systematic relationship between its subparts (e.g., the whole staff of a school, a business or a political organization), that responds to its own (intraorganization) situation as well as to external (interorganization) stimuli.

Community

A social unit composed of many individuals, who form a variety of interacting subparts (e.g., individuals, dyads, groups and organizations), that is likely to respond more frequently to situations internal to itself (intracommunity) than to situations external to itself (intercommunity).

Society

A social unit including all previous levels as interacting subparts related by some common norms of political, economic and cultural coordination that together form an observable identity.

Dimension 2: Functions of Human Systems

Managing

Is concerned with how the system is run; it includes coordinating, monitoring, communicating with and supervising the subparts to assure that the functioning achieves specified objectives in line with desired policies and procedures.

Planning

Is concerned with specifying objectives and procedures for achieving them.

Legitimizing

Is concerned with specifying which subpart is to be responsible for contributing in particular ways to particular functions; it includes policy making at the organizational level.

Inventing

Is concerned with the discovery of new things to do and reasons for doing them or ways they can be done.

Sensing

Is concerned with identifying needs and problems that should be attended to.

Evaluating

Is concerned with whether what is desired is being done.

Valuing

Is concerned with whether what has been done, or is intended, is truly desired.

Storing

Is concerned with the ways in which necessary things are preserved.

Retrieving

Is concerned with the ways in which necessary things are made available.

Diagnosing

Is concerned with determining the ways in which things are operating (in dynamic terms).

Assessing

Is concerned with determining what exists at a given moment (in static terms).

Producing

Is concerned with the ways in which work is done that produce (or fail to produce) desired objectives.

Deciding

Is concerned with the ways in which decisions are made in the system.

Reporting

Is concerned with who informs whom of what and the ways in which they do it.

Validating

Is concerned with how ideas and procedures are checked out to be sure they represent the values and efforts assumed for them.

Dimension 3: Operational Characteristics of Human Systems

A major part of the diagnostic work of the PETC-II consultant is to scrutinize and verify what is problematic in the intrapersonal, interpersonal group, intergroup and organization processes as they occur in the operational characteristics of human systems.

Membership

Individuals identified as being part(s) of the system are said to have membership. At the level of the individual, membership applies to issues of personal self-identity. It addresses questions such as:

Who am I?

What can I be?

What do I expect and desire of myself?

For the more complex levels of human systems, it addresses questions such as:

What does it mean to be a member of this group, organization, community or society?

Will I be accepted?

How will I be expected to act and respond?

What norms will prevail?

Will I be trusted?

Will I feel satisfied that I am needed and respected?

Will I feel adequate?

Will my personal motivations fit in with those of the group?

How much freedom will I have to express myself?

Problems arise from lack of clarity about membership questions as well as conflict over what the answers to such questions should be.

Influence

The concern here is the ways that influence happens among and between parts of the human systems.

> Is influence recognized as a normal and necessary operating characteristic of the system?
>
> What behaviors are acceptable and unacceptable as influence in the system?
>
> Are members explicit about accepting certain kinds of influence as well as rejecting other kinds?
>
> How much variance of individual styles of influence is tolerated?
>
> Are different bases for influence accepted for different types of situations (e.g., expertise in one situation and a forceful personal style in another)?
>
> Does the use of influence tend to free resources of individuals rather than block them?
>
> What are the ways in which leadership occurs?
>
> Are there different leaders in different situations?
>
> How much flexibility of influence and leadership is there in roles and status of different parts of the system?

Problems arise from lack of clarity about influence questions as well as conflict over what the answers to such questions should be.

Feelings

Perhaps the most crucial contribution of psychology in the past few decades has been clarification of the ways in which feelings affect the operation of human systems. They can affect any and all functions in facilitating and blocking ways. Feelings are tangible, measurable and enduring. Feelings that are not expressed as they occur are frequently expressed later in disguised, inappropriate and obstructive ways.

What are acceptable and unacceptable ways of expressing feelings in this system?

Are there any feelings for which there are no acceptable means of expression?

Do people trust each other?

What are the characteristic ways in which less acceptable feelings show themselves? How obstructive are they?

How much variance in individual styles of expressing feelings is tolerated?

How spontaneous, open and direct are expressions of feelings?

Is the importance of expressing feelings accepted?

Problems probably arise most frequently from lack of clarity about feelings. They also can stem from conflict over how feelings are expressed.

Roles

What parts or persons within the system are expected to carry out what functions, in what ways? While there are general expectations that apply to all members of a system, it is the particular combination of commonly shared expectations about functions people will perform and how they will relate to each other in performing them that defines different roles within the system.

How clear am I about what others expect from my role?

Am I clear about what I believe others should expect from my role?

Are most others clear about all of their expectations for my role, or only about some of them?

Are there differences among these expectations?

Are there other roles in the system about which there are differences or a lack of clarity?

Are the expectations of each role realistic?

Are there expectations that place roles in conflict with each other?

Are certain roles missing? (Evidence of this state would be that there are necessary functions that no one is expected to fulfill.)

Problems frequently arise from lack of role clarity and conflicting expectations about roles. Another important problem involves the overload and conflict that can occur from demands on individuals who are in more than one role.

Communications

The concern here is with the passage of information within and between parts of the system. *Information* applies to things that are *news*. There may be other kinds of noise in the system that are unintelligible or redundant. Such noise usually distorts rather than aids the passage of information.

Who talks to whom about what?

What modes and personal styles of communication are acceptable or unacceptable in the system?

How efficient are communications in terms of information flow versus noise and redundancy?

Is there feedback of information, checking for understanding and an opportunity for two-way flow where needed?

Are formal and informal patterns of communication primarily functional rather than bound in tradition, conflicting or limited by assumptions?

How do norms, roles, expectations and feelings influence communications?

Are there bottlenecks, blocks, gaps or points of overload in the lines of communications?

Values

What are the things that various persons or parts of the system believe to be important? Such things indicate the values held in the system. Values are based in philosophy and are the understandings of meaning of existence in the system. Identification of goals, selection of means and all experiences of operating the system's functions are considered good or bad in relation to the system's values.

> Have the philosophy and values of the system been made explicit?
>
> Are values of subparts of the system explicit and congruent with those expressed for the system as a whole?
>
> Are there value conflicts between subparts of the system or between this system and other systems with which it must relate?
>
> Are the goals and procedures of the system congruent with its values?
>
> Is there a continuous, active effort to identify values and explore the philosophical meaning and congruence of the system?

Problems especially arise concerning lack of congruity as well as unclarity or conflict about values.

Goals

Goals of the system are those measurable objectives that it strives to achieve. Some goals are primary to the purpose for which the system exists. Others are instrumental in achieving the primary goal. They sometimes contribute to a means to an end and sometimes to maintenance of the system.

> How explicit are the system's goals?
>
> Have all critical goals been identified?

Is the system committed to any irrelevant or detrimental goals?

Are the goals stated operationally?

Are they feasible and realistic?

Are there conflicts between subparts of the system about what the goals are or should be?

Has the relative importance of goals and their relationships to each other as primary and instrumental objectives been identified?

Problems most often are related to lack of clarity about goals, and sometimes to conflict. When a problem is one of goal conflict, it is more critical if based in value differences.

Means

Means are the particular actions taken and strategies employed to reach designated goals. The tasks and procedures that provide the system's functions are employed in these strategies. Means are the ways in which a system reaches its goals.

Are the means that are being attempted clearly spelled out?

Are they feasible and realistic?

Are different subparts of the system all clear and in agreement concerning these means?

Are the means congruent with the system's values as well as directly related to achieving desired goals?

Might there be side effects of employing particular means that would be beneficial or detrimental?

Might there be other, more effective means?

Problems about means often involve lack of clarity or conflict over which are best. More difficult problems about means concern values and questions of congruence.

Skills

Skills concern the level of ability, complexity and sophistication at which things are done. Although goals and means might be clear and congruent with values and purpose, a system might still have difficulty because it lacks the skills to carry out a designated task or strategy.

> Does the system have the skills necessary to perform the best procedures for its needed functions?
>
> Are individuals' skills needed, used appropriately and rewarded in the system?
>
> Is there an imbalance in skills or overuse of some procedures simply because certain skills are available?
>
> Are there provisions for skills practice, skills upgrading or introduction of new skills as needed?
>
> Are skills of persons or parts of the system matched appropriately with roles?
>
> Is there lack of clarity or conflict concerning skills that are needed or the adequacy of available skills?
>
> Are available skills applied appropriately?

Problems generally concern the availability and adequacy of skills.

Material Resources

In a broad sense, all of the operating characteristics of a system might be included under a category of *resources*. A more limited application of the term is intended here. Material resources include the physical plant and equipment, the financial capitalization and the operating budget of the system.

> Are material resources adequate and appropriate to the purpose of the system?
>
> Are they well related to the goals and means selected by the system?

Is the system constrained or facilitated in its selection of goals, means or improvement of skills by the availability of material resources?

Are they validly assessed or does lack of clarity about them let questions of their availability be used as falsely assumed constraints?

What are the sources of material resources?

Are they accurately determined and fully realized?

Are available material resources a valid reflection of the system's value to its environment?

Problems concerning material resources most often involve their being less than desired or conflicts about the use of what is available. A frequent, but less recognized, problem is invalid rationalizing about ways in which the lack of material resources acts as a barrier.

Energy

Human systems have a limited amount of energy that can be invested in accomplishing tasks at any given time.

Are parts of the system faced with demands beyond their energy level?

Is there equitable distribution of energy among the parts?

Are there appropriate provisions for rest and renewal of energy?

Are effects of working too hard or too long showing up as other kinds of problems such as breakdowns in communication or conflicts about influence or role definitions?

Are other kinds of conflict, or the system's reaction to it, causing undue drains on its energy?

The most obvious energy problems are the result of multiple demands converging on a part of the system. One of the most serious, and frequently unrecognized, energy problems is poorly managed conflict in the system. Debilitating amounts of energy can be tied up in the repression of feelings, unclarified, falsely assumed conflicts and real unnegotiated conflicts.

Perception

This factor concerns the things which are seen in and by the system and the meanings and interpretations that are placed on these things.

Are there important things that are unseen?

Do some roles or parts of the system tend to see only certain kinds of things?

Do some parts tend to distort or misinterpret what they see?

Does reality appear different from the legitimate perspective of different roles?

How much overall congruence is there in perceptions experienced throughout the system?

Are similar perceptions demanded of all parts of the system or are reports of discrepant perceptions supported as a potentially valuable breadth of perspective?

Does the system have ways of periodically breaking its psychological set in order to question whether it is open to new understandings in a changing world?

Problems especially arise from perceptions being limited by old, entrenched perspectives and from failure to understand that the same phenomenon can appear different when viewed from truly different (rather than merely limited) perspectives.

Interdependence

Interdependence concerns the ways in which the system's parts function in relation to each other in order to fulfill the system's purpose.

To what extent do the system's parts rely on each other for differential contributions to fulfillment of the system's purpose?

Do they see and acknowledge the value of each other's contributions?

Do they sometimes seek, use and acknowledge help from each other in performing their own operations?

Are there clear norms and procedures for collaborating and sharing resources?

How much cohesion and *esprit de corps* are there?

Do norms supporting interdependence conflict with appropriate needs for autonomy and periods of independent functioning?

Is individual creativeness sacrificed to group conformity pressures in the name of good teamwork?

Is interdependence based on functional expertise that supports freedom of operation rather than on authority and bureaucratic regulations that are constraining and inflexible?

Do some individuals feel inadequate and dependent?

What values are accepted as the basis for collaboration?

Do competitive norms and practices conflict when cooperation would be more productive and rewarding?

The most frequent problems of interdependence probably are conflicting norms and competitive procedures. An important, less obvious, problem is the lack of functional expertise as the primary basis for parts to share resources and work together.

Individual Differences

No two human systems, at any level, are the same. The capabilities of their operational characteristics vary according to the unique growth history of each. The issue here is one of capitalizing on the variations of the system that are subparts of a larger system.

Are there procedures for identifying the unique capabilities of individuals?

How much divergence of self-interest is tolerated?

Are there clear norms and procedures for negotiating basic differences of self-interest?

Are there norms for conformity that conflict with the valuing of growth based on interaction of differences?

Do persons know or attempt to discover each other's full range of resources?

Do expectations of a role or group extend to stereotyping individuals within it?

Are subparts of the system used flexibly and in accordance with their unique functional capabilities (rather than each part being limited to a usual set of tasks)?

The greatest problems concerning individual differences relate to system norms that deny and reject individual differences by failing to recognize them as a source of strength and growth. Although individual needs tend to be a concern in education, a lack of understanding of the dynamics and implications of individual differences of resources results in especially difficult problems and culminates in prejudice and discrimination where there could be the greatest opportunities for exploration and evolution.

Productivity

The concern here is for the ways in which the system knows it is productive and for the quality (rather than the quantity) of productivity.

Is the system's productivity a creative synthesis of its unique needs and resources rather than the lowest common denominator of capability of its subparts?

Are its objectives stated operationally so that it can be measurably accountable for productivity?

Are its procedures for producing efficient and cost effective?

Are its products congruent with its values and purpose?

Do its products contribute to desired social ends or to the maintenance of outmoded or objectionable ends as viewed by other systems?

How much energy is spent in arguing about the rightness or wrongness of ideas rather than in developing new ideas or combining ideas?

Do parts of the system experience a direct sense of satisfaction for their contributions to productivity?

The most observable problems concerning productivity involve low productivity levels resulting from inefficient procedures and a low sense of satisfaction on the part of individuals over their contributions. Less obvious, but perhaps especially important in education, is the lack of creative and motivating productivity.

Boundaries

Boundaries are the limits that keep ideas, practices, roles and individuals out of the system. The boundaries of human systems tend to involve expectations, norms, customs and psychological sets. They tend to act selectively in letting some things in and keeping others out. They often relate directly to values and role definitions. At the individual level, boundaries concern personalized involvement and exposure of self. For small groups and organizations, the concern is more with norms and customs. For the community and society, legal and political factors are more obvious. At any level, boundaries may be viewed as actions of the system that represent its choosing to be exposed and influenced by external factors.

Is the system permeable in that it exposes itself to many kinds of external influence?

Is it vulnerable in that other systems can force their influence on its internal operations?

Are the boundaries flexible in being able to quickly and selectively open the system to influence or close it to influence?

Are the boundaries so rigid that norms and expectations must be broken in traumatic ways in order to expose something new?

How well planned and rewarding does the system make the opening of its boundaries?

Does the system understand and acknowledge its own control over its boundaries?

Who and what act as the gatekeepers of the system?

Boundaries, strategies of entry and temporary relationships across boundaries are the most frequent issues for people attempting to bring about educational change.

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Activity 19
Fifth Meeting

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APPENDIX A

FIRST TIME OUT: Case Studies of Neophyte Consultants

Richard I. Arends
William Ward
Mary Ann Smith
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INTRODUCTION

Preparing Educational Training Consultants (PETC) is a series of instructional systems developed by the Improving Teaching Competencies Program of the Northwest Regional Educational Laboratory (NWREL). Preparing Educational Training Consultants: Skills Training (PETC-I) trainees are expected to assist individuals or small groups improve group process skills such as goal setting, communicating, influencing or decision making. Preparing Educational Training Consultants: Consulting (PETC-II) participants help a small group or major subsystem within an organization move through a specific improvement effort. Preparing Educational Training Consultants: Organizational Development (PETC-III) provides participants with the opportunity to acquire knowledge, skills and sensitivities that constitute a change process termed organizational development (OD). The client of a PETC-III trainee in an organization, and the consultation provided, is intended to increase the functional capabilities that enable the organization to add new kinds of objectives or use new kinds of resources.

Participation in PETC-III training lasts eight months, during which time PETC-III trainees complete a one-day preworkshop assignment, attend seventeen days of workshop meetings and spend approximately ten days doing a practicum. In practicum, trainees conduct an organizational development project that focuses on improving the functioning of a client organization.

This monograph provides case study information about trainee teams that participated in the pilot trials of PETC-III. Although each case describes both the experiences of trainees during the workshop and their activities during the practicum, the emphasis is on the latter. It also gives a description of how trainee teams went about scouting for and acquiring client groups for their practicum projects as well as how they intervened through a series of activities.

The PETC-III trainees learn the following stages of OD consultation: (a) developing a need for change, (b) establishing a client-consultant relationship, (c) diagnosing the client's problems, (d) examining alternatives, (e) interviewing and transforming change efforts, (f) stablizing change efforts and (g) terminating the relationship. The chronology of events in each case is described as much as possible according to these seven stages. Although most PETC-III trainees did not follow these stages exactly, most of the stages appear in at least one case.

The PETC-III trainees also learn a developmental theory of organizations that is intended to guide the interventions they conduct. However, this theory is not highlighted in the case studies for the simple reason that these trainees did not report the ways it had guided their work. Since these are descriptive cases, we decided to use the language and eclectic models employed by those we wrote about.

Audience and Purpose For the Monograph

This monograph was written for future PETC-III trainees. Formative evaluation of the instructional system uncovered a need on the part of trainees for information about the experiences and behaviors of other consultants. Few descriptions of OD consultation exist in the literature and there are no descriptions that focus on the behaviors of neophyte consultants. The cases in this monograph, therefore, were written for future trainees to alert them to potential pitfalls and trouble spots in their own initial OD project as well as to give them a frame of reference from varying perspectives for what constitutes OD work.

In other words, these cases were not written to document the effectiveness or ineffectiveness of the PETC-III instructional system. Nor were they written to show the impact of OD projects upon client systems. They were written to help future trainees think about the interventions they make as part of their practicum experiences. Each case concludes with study questions that should facilitate this exploration.

Selection Procedures

Cases were selected from trainee teams who participated in one of four PETC-III workshops conducted during the pilot trials of the instructional system. The steps for identifying the five cases for study were as follows:

Step 1. Compile a list of nineteen training teams from the four test sites

Step 2. Gather the following information about each team and its OD project:

1. Position and assignment of each trainee in education
2. Internal/external positioning of the team in relation to the client group
3. Organizational characteristics of the client system
4. Purpose of the OD project
5. Major intervention strategies used by the team
6. Problems and obstacles the team encountered

Step 3. Present the information to the developers of the instructional system and to persons who had served as senior trainers during the pilot trials (They identified nine cases which they believed to be most representative of all trainee teams and potentially most helpful for future trainees)

Step 4. Select five of the nine cases using the following criteria:

1. Cases of trainees in a variety of positions and assignments
2. Cases of work with a variety of client groups
3. Cases of more or less typical strategies and descriptions of problems faced by trainee teams as they conducted their OD projects

Step 5. Contact members of five trainee teams to ask their cooperation in studying their case and to establish time for a lengthy interview (All five teams agreed to participate and to have their cases reported in this monograph)

Step 6. Conduct structured interviews with the five teams using questions like the following:

1. What were the conditions under which your team entered and received PETC-III training?
2. What were the essential characteristics of the training, your team and your client system?
3. Why did the members of your training team decide to become involved in PETC-III training?
4. What was the nature of your team's involvement during formal training sessions?
5. What was the nature of the client system you tried to help?
6. How was your team internally or externally positioned in relation to the client system?
7. What was the overall strategy you used to make entry into your client system?
8. What diagnostic strategies did you use and what client group problems did you identify?

9. What design and strategies did your team use during the intervention?

10. What were your successes and failures as consultants?

Step 7. Write the monograph using fictitious names for the consultants and their client organizations to protect their anonymity

Thus, the trainees in these cases represent a variety of educational positions. Mark, in Case 1, was a teacher in an elementary school. Dick, in Case 5, was the superintendent of a school district. Other roles include: principal, evaluator, dissemination specialist, counselor, college professor and coordinator in a state agency.

The cases also sample a variety of client systems: the staff of an elementary school, a parent group, a department in a state agency, a research and development firm and the management team of a large district. Each case was chosen to illustrate what happens to real people as they attempt to intervene in human systems. The cases point out that OD projects are not always as successful as the consultants would desire and that some are successful in ways not initially intended.

Monograph Format

This monograph is divided into six sections. The first five sections are case studies, followed by a sixth section that summarizes what can be learned from these cases. The case study sections conclude with questions for future PETC-III trainees while the final section concludes with six recommendations based on experiences of the teams described in these cases.

The first case study is about Mark, an elementary school teacher who intervened and worked with his own staff. Mark's case is interesting because he worked alone and because he was very much a part of the client system for which he was providing consultation. Since his client system was small and easily defined and since he had high referent power with his colleagues in the school, the intervention design was rather simple and straightforward. It was well-accepted and perceived as helpful by the members of his client system.

The experience of Lorraine and Doris in the second case study is distinguished by their desire to work with a parent group in a large urban high school. Unlike Mark, they were not members of this group and they never really identified a client system they could work with until their PETC-III training was almost over. This case illustrates the difficulties that outside consultants face in making entry and the complexities of working with informal systems like parent groups.

The third case study tells the experiences of Tim and Bill as they worked with the personnel section of a state agency. The case illustrates how two consultants, one from inside and one from outside a large agency, can team up to provide a successful blend of skills to effectively carry out an OD project.

The case of Sandy, Duncan and Barbara, described in the fourth section, illustrates the difficulties that insiders can have in negotiating a client-consultant relationship with coworkers. It also suggests problems that ensue when the client system lacks readiness for an OD project.

The case of Dick and Ben, two top administrators in a school district, is described in the fifth section. This case illustrates how the PETC-III training can improve the management skills of administrators. It also exemplifies ethical and role-confusion problems. Key people in a district may run into such issues as they apply OD concepts and skills to their daily administrative functioning and as they set a climate for OD work to occur in school settings.

The final section of the monograph summarizes these five cases. This conclusion highlights what can be learned from them, describes differences and similarities observed among the neophyte consultants and includes a list of guidelines to help future trainees avoid common pitfalls in their practicum consulting experiences.

CASE 1
MARK: SOLO CONSULTANT IN AN ELEMENTARY SCHOOL FACULTY

This case describes the efforts of a teacher who acted as consultant to his own elementary school faculty. It illustrates some of the unique difficulties encountered by a "very internal" consultant, describes some of the problems of the solo consultant and portrays a common educational consulting situation.

Mark Olson was a seventh and eighth grade teacher in a parochial alternative school system in a large city. He had worked in the system for seven years, since its inception, and had been involved in planning the program for children with learning disabilities. He had been a leader in the effort to build norms in support of cooperation, self-respect and respect for others within the school.

Mark had much invested in education and in human relations training. Besides his bachelor's degree in education, he had had training in race relations work in the archdiocese and had completed all the PETC-III prerequisites. He was very excited and pleased about his NWREL training and had used the skills both in his own school and with human relations groups. He saw PETC-III as an extension of his previous training and said that he was "really positive and excited" when he began.

Mark felt confident about his abilities and clear about what he wanted to do. He was sure from the beginning that he wanted to work with his own school and that he wanted to work alone.

The senior PETC-III trainers encouraged him to take a partner, but Mark thought it would take too much time and energy to explain the school to a new person and to get people in the school to trust an outsider. He said, "The staff had already used me as a consultant for some kinds of things. I guess I was kind of a loner, but I didn't think they (the staff) would want an outsider hanging around. It was more realistic for me to work alone."

Mark felt ambivalent about his involvement during his PETC-III training for several reasons. First, he wanted more skills in consultation, but at times he thought there was too much to read before he recognized the relevance of the material. Second, he was often left out in activities which required teams in his learning group to work on intra-team issues. At those times, he would have liked to work with another "lone" person. Third, he thought that some of the material was not relevant to an internal consultant. He said, "I had to write about the system as if I didn't know it. Since I did, that got in the way." He wanted more material that focused on internal consultation and informal decision making.

Mark's most positive comment was that, "It was an intellectual high. I learned fascinating theories that I can always use. The concept that organizations have levels of development was exciting." He also reported learning a great deal about entry, expectation, sharing, role clarification for the internal consultant, resistance to change and various strategies and resources that he found useful. He also appreciated the help of the learning group when he felt unclear about what he was doing, and he knew he could get help from the senior trainers when he needed it.

Training Intervention With Client System

Mark's seventh and eighth grade school was one of two elementary schools in an inner-city parochial school system. Both schools gave special attention to children who were below grade level in basic skills--usually children with learning difficulties or behavior problems. Each school was small, with about 200 students, and each class was also small, with 15-17 students.

At one time, there had been four elementary schools in the district. As attendance dropped, the archdiocese had decided to close two of the schools, leaving two neighborhood schools--one for grades 1 to 6 and one for grades 7 and 8.

Mark was one of the twelve teachers in the seventh and eighth grade school. He had been involved in planning the new program when the school opened and in trying to establish norms of trust, cooperation, growing self-respect and respect for others. Mark described himself as "like the other teachers. I enjoyed working on my own, but I was very committed to the school and the kids." While this was an alternative school system, it was in no sense a "free" school. Classes were typically highly structured and teachers put great emphasis on the learning of basic skills. The system also had much autonomy because it had its own local school board and support from the archdiocese.

Entry

Mark chose an informal entry style because, as he said, "An internal person in a small system has to be informal and be himself--not play the role of a 'big expert.'" Mark also reported that he had the advantage of an expert and referent power base from which to work. "At that time, members knew that I had had some training and was getting more in PETC-III. They had rallied around me in the past and I knew they would do so again if I asked them to."

The first thing Mark did after deciding he wanted to work in his own school was to ask all of his colleagues if he could work with them on building norms to support trust and openness in the faculty. After the staff informally agreed to undertake the project, he approached the principal individually. The two of them discussed the project and agreed that Mark should try not to be perceived by other teachers as a "consultant," but rather as a staff member and human being. Then Mark went back to the rest of the staff and told them he had the principal's approval. The total staff agreed to participate in the project.

Mark used the contract forms required by PETC-III although he thought they were somewhat inappropriate for an internal consultant in a small system. Although other staff members reacted with comments such as, "You want us to sign a contract?" they agreed to do so because they liked the idea of being specific about agreements.

Diagnosis

When Mark first thought about his system, he described the teachers as "strongly opinionated individuals with definite ideas." He also thought that the faculty lacked a basic teamwork capability. He wrote in May, "Combining people's efforts in an organization necessitates understanding each other, agreeing to norms of influence, arriving at school commitments in decision making and coordinating their efforts."

Mark's long-term goal was to deal with his own system's needs for human maintenance, problem solving and decision making. He also wanted to avoid "laying stuff on people and being the expert." He wanted to share the diagnostic data so the group would own it.

His diagnosis was based on data he collected with a "needs assessment" questionnaire during a faculty meeting in May. Eight faculty members responded to 17 statements such as, "Ask others who seem upset to express their feelings directly," and "Use formal voting as a way of making decisions," indicating whether group members did or did not, should or should not exhibit those behaviors. When everyone had completed the questionnaire, Mark tallied their responses on a large table (see Table 1) and asked others to consider discrepancies between what staff members were doing and what they should be doing.

Then he asked the staff to generate a list of group goals and to indicate the ones to which they were most highly committed. By comparing the list of goals to data from the questionnaire, the staff then generated a list of major problems to attack in the fall. Mark and the staff felt good about this meeting. As Mark said later, "We were well on our way toward 'the year of good feelings.'"

Interventions

During the summer, Mark began to plan for a two-day workshop with the staff immediately before school started. In a PETC-III report, he wrote the following:

> My goals are: (a) to increase the adequacy of problem solving in the staff, (b) to increase the accuracy with which we understand each other's feelings about the organization and (c) to increase the adequacy with which we manage the school.
>
> My basic assumption is that if the faculty can identify the real issues that keep us from working well together, we must (a) have team skills, (b) understand our values and (c) analyze our purpose for working together.
>
> The strategy I'll use will be to be a process link, presenting skills so we can uncover and resolve the real issues in our group.
>
> I hypothesize that the outcomes will be a process that will enable us to deal with larger organizational issues.

Table 1

Mark's Feedback of Diagnostic Data

Item	The Group		An Individual	
	Should	Should Not	Should	Should Not
1. Ask others who seem upset to express their feelings directly	4	4	7	1
2. Tell colleagues what you really think of their work	2	6	8	0
3. Avoid disagreement and conflict whenever possible	4	4	2	6
4. Be concerned about other people's problems	6	2	8	0
5. Only make a decision after everyone's ideas have been heard	4	4	8	0
6. Push for new ideas, even if they are vague or unusual	2	6	8	0
7. Ask others to tell you what they really think about your work	3	5	8	0
8. Keep your real thoughts and reactions to yourself	2	6	0	8
9. Be skeptical about things	2	4	0	8
10. Point out other people's mistakes, to improve working effectiveness	1	7	7	1
11. Try out new ways of doing things, even if it is uncertain how they will work out	4	4	7	1
12. Stay cool--keep your distance from others	3	5	0	8
13. Use formal voting as a way of making decisions in small groups	1	7	1	7
14. Spend time in meetings on emotional matters which are not strictly germane to the task	1	7	4	4
15. Be critical toward unusual or "way out" ideas	6	2	2	6
16. Stick with familiar ways of doing things in one's work	7	1	0	8
17. Trust others to be helpful in difficult situations	4	3	8	0

He planned the two-day workshop to focus on team building. He wanted to help the staff explore the ways in which humanistic values and needs for autonomy and achievement--typical qualities of faculty members--inhibited or facilitated their ability to work together. In Mark's words, "I wanted to build on group concepts and to focus on team building issues. If we created more of a sense of teamness, we'd function better and take care of our human needs too."

The workshop included a review of problems and goals identified the previous May as well as a "brush-up course" on interpersonal communication skills and constructive feedback. During the two days, the faculty spent most of the time examining roles and norms in order to be more explicit about their expectations of each other. They also did a force field analysis on their goals of increased supportiveness in the staff and favorable student attitudes toward work, self and others.

As "Forces For," the staff listed:

1. We are a small, friendly group.
2. We have interpersonal communication skills.
3. We have common interests in teaching.
4. All of us are sincere, desire new ideas, and are open-minded.

As "Forces Against," the staff listed:

1. We fear knowing each other too personally and hurting each other's feelings.
2. We lack time and sometimes put efficiency ahead of good communication.
3. We are not always aware of each other's philosophies and values.
4. We sometimes work in competitive ways, judging and making assumptions about each other's behaviors.

A major decision during the two days was that the faculty would meet once or twice a month during the school year to discuss group maintenance issues. The staff hoped these meetings would help maintain the following norms: (a) to give and receive feedback at all appropriate times, (b) to work as a team and monitor each other's behavior and (c) to rotate responsibility for convening these meetings so all staff would "own" the OD effort.

According to Mark, the staff also spent a great deal of time exploring inclusion questions such as, "What is Mark's position in this faculty?" and value questions such as "What do other faculty members believe in strongly?" He played a key leadership role in the workshop, but repeatedly told the staff, "I'll need help. I don't want to be isolated and I hope you don't expect me to be perfect. Give me the freedom not to be perfect as an internal guy."

One unexpected and pleasant result of the workshop for Mark was that he gained an informal "partner," Elaine, another teacher who had received training in communication and group process. He said, "She would pick up stuff I missed and give me feedback about how I did. She was also someone I could sit down with over a beer and talk to about how things were going, and there times I really needed that."

Another result of the September intervention was that teachers were more open and relaxed. They came to talk to Mark about problems. The staff continued the monthly maintenance meetings, although they were not always held on a regular basis because of the pressure of teaching tasks.

During the fall, problems in the interaction between Mark's school and the primary school in the district began to surface. The teachers in Mark's school asked Mark to help them work with teachers from the other school. Staff members believed the autocratic principal and more rigid philosophy of the other school were problems which had an impact on the seventh and eighth grade school it fed into. Teachers in Mark's school were concerned about what Mark called "the typical hassles over philosophical values and directions."

Mark did his second intervention in December when he convened a meeting he dubbed, "The Red Purge." Teachers from both schools spent a day discussing how students should be taught and ranking characteristics of each other as teachers. Mark assumed that these activities would uncover values, build trust and open up feelings. Both faculties and Mark thought the meeting was helpful and "cathartic."

As his final intervention in May, Mark held a half-day session with his own staff. This meeting was an opportunity for the staff to take a look at their activities, to share feelings about the year's OD effort, to sum up their efforts and to get closure on the project. This, too, was a well-received meeting and according to Mark, "left people feeling good."

Outcomes

Mark did not try to do any formal evaluation because he thought it would be awkward for an internal person to attempt. At the end of each intervention, he did ask staff members to specify activities they had viewed as helpful and unhelpful. He also used feedback from Elaine to check on how he was doing.

In general, Mark felt good about accomplishing what he set out to do. He thought that focusing on team building and group process skills had been a manageable project for him, and that the staff had come closer together and operated better--at least for a while. According to Mark, "The staff was pleased, I think. Although no one said it explicitly, I know they wanted me to continue in the consultant role. All around, I have to call that year 'The Year of Good Feelings.'"

Sometimes during his project, Mark wondered if he was doing what he meant to do and whether his interventions had enough impact to be important. However, Mark's biggest problem was that he ran out of energy. After that year, he did not want to deal with others' stresses any longer. He now describes the major difficulty of internal consultation by saying, "You get yourself pegged in this role and you can't get out of it. The internal consultant is always available to be sucked into every difficulty. When you are an internal consultant, you can't ever leave the place. Sometimes I felt like George Washington during his second term--I just wanted to retire to my farm and till the soil with my kids in the classroom. One of the things I failed to do was train others to take responsibility for making the project keep happening."

Summary and Questions

Mark's story is one of a PETC-III trainee who had a "success experience" in several ways: (a) he managed to find a group of people who wanted him to help them improve their organizational functioning; (b) he diagnosed--with their help--the major organizational problems they were facing; and (c) he conducted three major interventions that he and his clients evaluated favorably.

His story is also one of a solo consultant who "burned out," and who had trouble freeing himself from the role when he wanted to stop. The story suggested three important questions future PETC-III trainees might consider:

1. How and why was Mark so successful?

Was it because he didn't start entry from the "top" of the system, but instead went straight to those he wanted to help and then got the principal's approval?

Was it because his clients attributed expert and referent power to him while seeing him as "one of the folks"?

Was it because he relied heavily upon informal methods of diagnosis and intervention?

Was it because he played a leadership role in workshops while asking permission to be less than perfect?

Was it because he found a partner who could give him support and feedback?

2. How and why did Mark "burn out"?

   Was it because he worked essentially alone and took on too big a task?

   Was it because his "clients" never distinguished "Mark the teacher" from "Mark the consultant" in spite of his efforts?

   Was it because other PETC-III trainees couldn't emphasize with his case or because the training system included too little that was relevant for consultants as "internal" as Mark?

3. Was Mark's effort focused sufficiently on organizational development or was his success and "burn out" the result of running a staff development program?

   How can these two approaches to intervention be distinguished?

   What are the implications of mixing the two in some way?

CASE 2
DORIS AND LORRAINE: WOULD-BE CONSULTANTS TO A PARENT GROUP

This case describes the efforts of a principal and a counselor from two schools in a large district. They tried to become consultants to a parent group associated with a third school in the same district. It illustrates some of the problems of working in a large district, the dilemmas of consultants who aren't sure who their client is, and the frustrations of trying to behave assertively toward an informally organized client system.

Doris and Lorraine were members of a "cadre" in a large urban school district. District administrators had selected 21 people to receive training in organizational development consultation so they could help implement a school board policy to integrate the district.

Lorraine had been a teacher and counselor in elementary and junior high schools for nine years. She had obtained her master's degree and had received training in group processes and human relations as part of her counselor training. However, she did not claim to have been an "expert" OD consultant from the beginning. In her words, "I'd had a lot of experiences as a helper to groups, but not much of it was very much like what PETC-III graduates were supposed to do."

Doris had 11 years of experience in teaching, staff work and administration. She also had completed her master's degree. She had had practically no experience as a consultant other than that required in her positions as a teacher, staff worker and administrator. She described herself as very "committed" to PETC-III training, to her job as a school administrator in the district and to working with other people in the cadre.

Both Doris and Lorraine had completed all of the NWREL programs prerequisite to PETC-III. Both thought they had gotten a lot out of the previous programs and, because their investments in time and energy had paid off, they wanted to continue. Both wanted to increase their consultation skills because they did not feel that PETC-II had given them all the training they needed. They also enjoyed the camaraderie and solidarity of the cadre.

They did have some problems with PETC-III training. Lorraine worried that they were not always helpful to others in their learning group and Doris said, "Everything was so new to us that we found it difficult to ask for help." Both said that the ideas and concepts had been difficult to comprehend and integrate while they tried to meet the requirments of training sessions. In Lorraine's words, "Maybe more time to interact around the theory papers would have helped." Both wished the senior trainer had helped their learning group work together better. They also wished they had learned to present their data in more effective ways.

Training Team's Interaction With Client System

Lorraine and Doris wanted to find a client system in their own urban district because the district was trying to provide a multiethnic, culturally-integrated educational experience for all children. Another reason was the district's efforts to encourage staff members to gain skills in human relations. Through the establishment of a district-wide human relations task force, the district was emphasizing ways to help students, teachers, administrators and community groups participate effectively in the schools. Lorraine, Doris and others in the district's cadre were to receive PETC-III training as a part of the effort toward integration. District leaders believed this training would provide the skills and knowledge necessary to accomplish their goals.

Scouting For a Client System

Because district administrators were responsible for selecting the employees that would receive PETC-III training, they maintained a certain amount of control over determining the "client groups" that PETC-III trainees would work with in their practicum consulting experiences. Therefore, when Doris and Lorraine began looking for a client group in February, their first step was a meeting with one of the district's area superintendents to ask his help in finding a client group for their practicum project. They chose this particular area superintendent because they knew of and respected his efforts in the district. They hoped he could give them an idea of where to start as well as authorization to make their consultative efforts legitimate to some group.

This area superintendent was particularly interested in finding additional help for a parent group associated with Central High School. This school had been a major "battleground" in the desegregation effort and the area superintendent saw the school as needing a great deal of help.

The area superintendent already had expended a great deal of energy working with this particular school. He was often seen walking the halls, checking on things. Others in the district described Central High School as "his baby."

In spite of his efforts, Central High School had many problems. The school had a history of turmoil and tension, of parent and student unrest. In recent years, a shift in the composition of the student body from predominantly white to predominantly black had been accompanied by a growing reputation as "a bad school."

Two major problems plagued the area superintendent and staff of the school: (a) white parents continued to request that their children be allowed to attend other high schools in the district; and (b) black parents--the majority in this part of the city--wanted more black teachers in the school and were dissatisfied with the district's policy of putting an equal number of minority teachers in all schools.

When Doris and Lorraine met with the area superintendent, he described the principal and the school as "inundated with outside people trying to help them and overloaded with people and programs."

After meeting with the area superintendent, Doris and Lorraine then met with the vice principal and a counselor at Central High School. Since these two individuals were also PETC-III trainees in the same learning group as Doris and Lorraine, they used this meeting to explore problems in the school and community as well as to consider how the two teams might work together.

The vice principal was pleased that Doris and Lorraine wanted to help in his school and suggested they do their practicum consultation with a group called "Parents for Educational Improvement." This group was comprised of volunteer citizens whose children attended Central High School or one of its "feeder" elementary and junior high schools. It had been created to support the school, to raise funds for special programs and to encourage two-way communication between the schools and the community.

In late February, Doris and Lorraine met again with the area superintendent to report on their meeting with the vice principal and counselor. He approved their wish to work with the parent group, particularly because attendance at the group's meetings was irregular and he viewed the group's chairperson as "not very forceful" in getting parent participation.

Doris and Lorraine met with the principal of Central High in early March. They found him to be "less than excited" about their proposal to work with the parent group, primarily because he was unsure they could accomplish anything. His main words of advice were, "Just don't do another needs assessment; others have researched this school before and what we *don't* need is another survey."

The principal did suggest three things that Doris and Lorraine could do to become familiar with Central High School: (a) take a tour of the building and see classes in operation, (b) attend a meeting of the curriculum committee for the area and (c) attend a meeting of the school's administrative team. Doris and Lorraine were dismayed because, as Lorraine said, "I couldn't see what any of that would do to help us with the parent group." Nonetheless, they followed the principal's suggestions.

Entry

In the middle of March, Doris and Lorraine attended a meeting of the parent group at which some students talked about their interests and participation in activities, classes and programs at Central High School. The ensuing discussion among group members focused on the school's poor image and reputation in the district. While Doris and Lorraine were "fascinated" by the topic, they never introduced themselves to the group and no one asked who they were.

They returned to another group meeting in March, again failing to make themselves known and to get their offer of help on the group's agenda. Only at the third meeting they attended, in early April, did they get the vice principal to introduce them to the parent group's chairperson. Even at this meeting they were not introduced to the total group since the agenda was crowded with issues related to the recent failure of the school levy and what the parent group might do.

Their fourth meeting with their hoped-for client group occurred in April when Doris and Lorraine administered a questionnaire to all members of the parent group. This questionnaire, designed by the vice principal, was intended to collect information from parents about their perceptions of Central High School and its staff, administration, support services, programs and public relations. The vice principal was administering the questionnaire to a sample of students and asked Doris and Lorraine to collect data from the parent group. Although Lorraine thought the group should have been involved in designing the questionnaire, she and Doris complied with the vice principal's wish because, as she said, "It seemed so important to him and we wanted to be as helpful as we could."

Doris and Lorraine joined their learning group partners--the vice principal and counselor of Central High School--in analyzing the questionnaire data and in making feedback presentations to the principal, area superintendent and the parent group in May. After the presentation to the parent group, its chairperson asked them when they intended to start working with the group. As Doris said, "Having pondered that question since February, we sighed with relief and agreed to attend a meeting of the group's executive committee in June."

Diagnosis

Doris and Lorraine had taken advantage of all the hours they spent sitting in meetings of the parent group to observe how it functioned. In addition, the experience of administering a questionnaire and presenting feedback had sharpened their understanding of problems this group faced.

During the course of meeting with their learning group in PETC-III training workshops, they had identified three major problems they thought the parent group needed to address. These were: (a) a lack of clarity about the goals and purpose of the group, both among its members as well as in the school staff and community at large; (b) a lack of efficient and effective procedures for conducting meetings; and (c) a lack of clarity and agreement among members of the executive board concerning why they ever met separately from the total group.

Doris and Lorraine shared these diagnoses with the parent group's chairperson when they met with him in June. He concurred with their judgments and encouraged the group's executive board to offer Doris and Lorraine a contract to help the parent group solve these problems during the next school year. Doris and Lorraine said they felt "jubilant" after this meeting. Doris said, "At long last we had the chance to intervene that we had been looking for all along!"

Outcomes

Doris and Lorraine's jubilance changed to despair only two weeks later when the parent group held its final meeting of the school year. A new executive board was elected and none of its members had belonged to the executive board with which Doris and Lorraine had negotiated their "contract." They did talk with the new chairperson of the group, but he insisted that he wanted a "fresh start" for the new executive board, that he, himself, could solve the problems Doris and Lorraine had diagnosed.

Summary and Questions

Doris and Lorraine's story is one of PETC-III trainees who encountered many problems in the process of finding a client group with whom to do their practicum consultation. At this interview, they offered four important reasons why they thought they were so unsuccessful. First, in Doris' words, "We were never clear about what we wanted to do. All too often Lorraine and I would tell others in our learning groups--and ourselves--that, 'This is maybe what we're sort of going to kind of try to do.'" They both agreed that their lack of clarity about their own goals had been a major problem for them.

Second, they admitted they had lacked confidence and assertiveness when talking to gatekeepers in the district and to the parent group's chairperson. Lorraine said, "We kept asking ourselves if we could help the group with the organizational development skills we were acquiring. We didn't have any feeling of faith in ourselves and couldn't present ourselves as confident and competent helpers." Although they felt support from others in their learning group--particularly from the vice principal and counselor of Central High School--Doris said, "No one ever confronted us with the fact that our failure was of our own doing, that we had to convince ourselves that we could do it before we could expect others to believe us."

Third, both women admitted they had spent too much time talking to district and building administrators in proportion to the help they got in reaching the parent group. They originally believed it was important to consider the total district as their client and so had gone to the area superintendent. Later on, they began to think of Central High School, its feeder schools and its community as the client system and so had talked to the principal, visited classes and administered a questionnaire to parent group members for the vice principal. "Never," in Doris' words, "did we go to a meeting of the group and say that we wanted to help them and ask what they thought we could do to be helpful."

Fourth, both attributed part of their problem to the informal and changing nature of the parent group. As Lorraine said, "It was a bad group to try to work with. No one knew who was supposed to come to the group's meetings, or what they were supposed to do once they got there. And it was especially bad because no one asked these kinds of questions out loud and so they never got talked about." Doris' main concern with this group was the instability of its membership and leadership. She said, "The group's bylaws made it necessary to elect a totally new executive board every year and there were no provisions for continuity of action. That fact alone made it nearly impossible for an outsider to do anything of any scope or duration."

Doris and Lorraine's analysis of their story suggests several questions:

1. What is the importance of trainee clarity about goals?

   How much is gained or lost by too little definition?

2. How assertive should PETC-III trainees be in relation to clients?

   Should they "bill" themselves as experts and tell people what they are going to do, or should they plead, as Mark did, for the freedom to make mistakes?

3. How can trainees best determine which gatekeepers and formal leaders they ought to talk to for legitimacy and permission?

   What are the consequences of defining the client system too broadly? Too narrowly?

4. Are parent groups good clients for PETC-III trainees to take on or are there just too many problems in these kinds of groups for all but the most competent OD consultants?

   If these kinds of groups are "unready" to profit from consultation, what kinds of strategies can be used to build readiness so that PETC-III trainees can provide potentially socially significant consultation in urban school communities?

CASE 3
TIM AND BILL: TEAM APPROACH WITH A DEPARTMENT IN A STATE AGENCY

This case describes the efforts of a two-man team that worked with the personnel section of a state government agency. The PETC-III team was trying to help the new manager of the recently expanded department to clarify roles and responsibilities and to manage conflicts between those who advocated old and new ways of doing things. This case illustrates difficulties of consulting in a large agency and the value of a consultant team comprised of a state agency employee and an "outsider."

When the PETC-III project began, Bill was 37 years old, had a doctoral degree in education and was an assistant professor of education at a small midwestern college. He had previously taught at a university and had worked with a firm doing human relations and organizational development consultation.

Tim was the director of a project within a state agency in the same midwestern state. He had a bachelor's degree in education, a master's degree in theology and philosophy and had completed one and one-half years of a master's degree program in social psychology. He had taught in a secondary school and in a church/school family learning center.

Bill and Tim had similar reasons for becoming involved with PETC-III. Both had extremely good experiences with the prerequisite courses. Both were very frustrated--Bill, with trying to chair his college department, and Tim, with coping in a very traditional master's degree program. Both felt the need for more skills and knowledge. Tim thought PETC-III would be the best training he could get to become an organizational consultant since it was clear to him that his master's degree program was not going to help him meet that career goal.

Bill wanted a more comprehensive conceptual framework and more skills to deal with issues in his department. His previous experiences with PETC-III prerequisites had been favorable and he thought that PETC-III training would be useful.

Both Bill and Tim became extremely involved in PETC-III training. When asked how involved they were, Tim answered, "On a scale of 1 to 10, an 11!" Bill enthusiastically nodded agreement. Both found the training an exciting, enjoyable experience.

The main problem Bill and Tim had during their training was the difficulty in "communicating the complexity and drama of what had happened" with their client system. Tim said, "We had to give the learning group enough information to be helpful but I tended to give them too much." Bill laughed and agreed, "After the first time, we didn't let him report any more!" Tim said, "Only later did I learn to focus on the essentials."

They both liked the structure the theory papers gave to their thinking about their client system and the feedback from others in their learning group. They thought it was helpful to see the others' assumptions, goals and strategies. They learned to explore whether they were open to their own implicit goals and strategies and whether their own values were being imposed upon the client system.

Both thought they had a good grasp of the concepts in PETC-III. Tim said, "We asked lots of questions and were comfortable. We sometimes had to help others in our learning group who were less 'ready' for the experience of consulting."

When Bill and Tim were asked about the joys of the training experience, Bill said, "It was really pleasant developing the relationship with Tim. We were open and close and I looked forward to getting out of the 'muck' of my work situation and having three days to reflect on the reality of my situation, I had time for reflection."

Tim said, "I really enjoyed the time off and the learning experience. Working with Bill helped me look at tasks in a different way. He kept me from getting locked in. I liked PETC-III training, but finding someone to work with was the most important thing."

Training Team's Interaction With Client System

Bill and Tim's client system was a personnel section in a state government agency. This section was comprised of twelve people who performed personnel and staff functions for the agency. The section had expanded from two to twelve people during the previous year as well as acquired a new director and a new affirmative action officer.

In addition to the increase in staff size during the past year, the section had moved within the state agency structure. Originally the personnel section was part of the division of administration and responsible to the assistant commissioner. Then the section was made directly responsible to the commissioner and the personnel director was put on the commissioner's administrative cabinet. Other section and division directors were resentful of this reorganization since it gave the personnel director a full vote on the commissioner's cabinet.

The personnel section director had been a school counselor, but had no experience as a personnel director before joining the agency. He told Tim and Bill that he tried to get things done, but had shortcomings as a manager and wanted help. He was currently embroiled in a battle with a long-time member of the department, a person he described as "a typical bureaucratic paper pusher, although co[illegible]tent and with possibilities." Besides these problems and the usua[illegible]litical pressures of a state agency, the director felt pressure from t[illegible] federal government to implement affirmative action programs.

Fortunately, according to Bill and Tim, they had the advantages of being simultaneously "outside" and "inside" the state agency. Bill was obviously the most "outside," having no ties at all with the agency. Tim, as an employee in another division of the agency, saw himself as internal to the organization, but external to the client section. The major advantage in their teaming, as they saw it, was that Bill was "outside" enough to have fresh perspectives, while Tim was "inside" enough to understand and be trusted by the people. Another of Tim's advantages appeared to be others' perceptions that he was unbiased about various interpersonal problems within the client group.

Entry

Tim took most of the initiative for making entry. He originally had met the section director when he discussed possible application for a job as training officer. Although Tim didn't get the job (the opening was available immediately but Tim couldn't leave his position at that time), he immediately thought of the director and department when he decided to be in PETC-III. The personnel section seemed like a "manageable" client system since Tim already knew some of the director's concerns and thought that organizational development consultation might be helpful. Tim approached the director with the possibility that he and Bill might work with the section. Both agreed the project might work well.

Bill and Tim then held a meeting with the director to gain information about the section. They also wanted to encourage the director and allow him and Bill to become acquainted. A few days later, the "contract" was negotiated formally in a conference call among Tim, Bill, the director and the senior trainer of PETC-III.

Tim and Bill were not sure that everyone was equally clear about what the final contract meant. They believed the director expected them to give him feedback on his section to assist him in obtaining information from his subordinates and to offer suggestions to improve the functioning of his section. Tim and Bill believed the contract freed them to do team-building and managerial coaching.

Diagnosis

Bill and Tim began the diagnostic process by meeting with the director several times. In these meetings they tried to discover how he perceived the section's problems. They also attended section meetings, drew a sociogram and used the checklists of task and maintenance roles. Finally, they interviewed each professional member of the section with prepared interview schedules.

With these procedures Bill and Tim diagnosed a number of organizational problems. First, they found that the director felt inadequate about his own skills as a manager. His role within the agency was unclear. Confusion was compounded further by his role as member of the commissioner's cabinet. Second, people in the section were not doing long-range planning. Because of the daily time and task demands, they acted constantly in a "reactive" mode and had no energy or time to plan.

Third, the director lacked a mechanism for sensing the needs of the section and the employees lacked a way to give the director open feedback. Also, the personnel section lacked a means to communicate with other divisions and sections in the agency. Fourth, section members were confused about how they were supposed to coordinate their efforts on various tasks. At times, they seemed confused about what their tasks were.

When Bill and Tim shared these diagnoses with the director, he agreed with them. Later the three of them met with all members of the section and asked them to verify the problems they thought were most important.

Interventions

After the section meeting at which they discussed their diagnosis with section members, Bill and Tim met again with the director. The three agreed that one way to start working with the section would be to convene a session to clarify the goals and objectives of individual section members and to plan ways to meet joint goals.

The session was convened two weeks later. Each member of the section listed his or her goals for the year. Bill and Tim modeled paraphrasing until the goals were clearly stated. The total group then brainstormed ways each person could reach his or her highest priority goal. During this process Bill and Tim gave group members feedback on how they were working together.

After debriefing the session with Tim, Bill met with the director to discuss how he thought the meeting had gone. The director was generally pleased with the relaxed and productive atmosphere in the group, but was especially concerned because the affirmative action and training officers had not worked well together during the session.

After this discussion, Bill and Tim met several times with the director and the affirmative action and training officers. The purpose of these meetings was to discuss what the officers ought to be doing and to help them produce or plan for a human relations program in the state agency.

Throughout all of these meetings, Bill and Tim tried to coach the director on ways he could integrate what they called "the authoritative and humanistic sides of managing." In their words, "The director saw us as 'traditional experts.' He expected us to gather data and to present a report that he could read and file. He tended to dismiss problems in the section by saying, 'You can't please everybody all the time!' Although he said he valued collaboration and would worry if members of the section didn't care whether they understood each other, he was not one to do much paraphrasing." Bill and Tim did comply with the director's request for a written final report, and the director, in turn, agreed that this final report also should be presented to the total section for review.

At their final meeting with their client group, Bill and Tim presented the report and helped their clients brainstorm ways to free up time for staff development. At the conclusion of the meeting, they asked everyone to complete the sentence stems, "I think...I feel...I learned..." as a means to evaluate the effectiveness of their intervention.

Outcomes

Bill said, "We think that from the client's perspective, the project was probably successful. The director was able to see evidence of improvement in the functioning of his section. From our perspective, the outcomes were mixed. Although the project probably was useful for the client system, inasmuch as some problems were clarified and solutions implemented, we wonder if we were sucked into doing this work. He spent lots of time obtaining data and producing the report he wanted."

Tim added, "We didn't teach enough skills or give enough feedback. We also needed to include more of the staff more often. The client perceived the time factor as critical and didn't allow us enough time. Instead of demanding time enough, we were coerced into working within the client's time framework."

Tim did some more work with the department during the next year, after the commissioner mandated staff development for all employees. Tim thought this work went smoothly because he and Bill had built a good foundation for skills training.

Summary and Questions

Bill and Tim's experience was by and large a very positive one. In the interview they agreed that the best part of PETC-III was meeting each other and learning to work together. Both said they never felt pushed or forced in any way, but often felt "stretched" by the other.

They attributed much of their success as a team to the fact that their styles were very complementary. Tim was what Bill called "a mover" and Bill was, in his own words, "one who sat back and pondered stuff." Even when both felt under stress, their styles remained complementary although both shifted quite dramatically. Bill described these situations this way: "In conflict, I tended to be confrontative; occasionally I became argumentative. Tim tended to sit back, clarify positions, and de-escalate tensions. We had different timing and that is crucial in a team."

Both Bill and Tim were critical of the complexity of PETC-III. Tim admitted, "I guess I was looking for a more synthesized model that I could apply more easily." Both reported they were trying still to think of ways to get beyond spending too much time in diagnosis and too little in action.

Their case, as with the others, raises some interesting questions about the work of PETC-III trainees in the training workshops and during practicum consultation.

1. To what degree and in what ways must consultation with a new or rapidly growing subsystem in a large organization focus on the goals and professional development needs of individuals?

   How can attention to organizational development best be woven in with this focus on individuals?

2. In what ways can intervention team members best capitalize on each other's strengths?

   To what extent, as Tim and Bill suggest, is it a matter of getting a good match in the beginning?

   What else does it take to ensure that team members differentiate and integrate their roles effectively?

   In what ways can the "rules" of good teamwork be applied to learning groups in PETC-III workshops where some individuals, like Bill and Tim, come with much more experience than other trainees?

CASE 4
SANDY, BARBARA AND DUNCAN: CONFLICT IN A RESEARCH AND DEVELOPMENT FIRM

This case describes the efforts of a three-person PETC-III team that tried to establish a relationship with members of their own work group to overcome low morale, poor communication and unclear decision making. The case illustrates how the team attempted to gain legitimacy, how the intervention was perceived by some clients as an imposition from top management and how special stresses in the client group disrupted the team's well-laid plans.

Training Team

All three members of the PETC team were employed by an educational research and development firm and worked in a program that was developing and testing teacher-training materials. Sandy had a doctoral degree in educational administration and had worked as a teacher and administrator in elementary schools, director of teacher education in a state department of education and dean of the school of education in a small liberal arts college. At the time of his PETC-III experience, he was in charge of disseminating the program's products. He had worked for the firm off and on for several years and was perceived by some colleagues as having a high degree of formal and informal influence. He was well liked and had been called "a big, warm, fuzzy man."

Barbara, the second member of the team, had a degree in education. She had had a variety of experiences in schools, including teaching and coordinating several innovative projects. As an employee of the firm for a little over a year, she acted as Sandy's assistant in the program and was viewed by colleagues as an informal social leader.

Duncan, the third member of the PETC team, was a product evaluator in the program. He was a bit younger than Sandy and Barbara and his experience in education more limited, but he had a master's degree and was working on his doctoral degree in research and evaluation.

No member of this PETC-III team had an extensive background or experience in organizational development work. Each had participated in numerous and varied human relations workshops and had completed all PETC-III prerequisites.

Sandy, Barbara and Duncan described each other as having high levels of interpersonal skill and as being deeply involved in and committed to the training. All reported they enjoyed the training and worked smoothly as a team because they had few interpersonal difficulties to overcome. They also felt they attended and were well prepared for every session. They reported satisfaction and personal regard for each other and for others in their training workshop.

Sandy and Barbara reported three main reasons for their involvement in the training: (a) to gain experience with a program they might later recommend and disseminate; (b) to develop a better understanding of organizational development; and (c) to increase their own intervention skills. Sandy also saw the role of organizational specialist as a career he might pursue.

Duncan's motivation was a bit different. He was looking forward to the group experience and the opportunity to work closely with Sandy and Barbara on a common task. He also was dissatisfied with the quality of his work environment and thought that a team effort could help improve the program's functioning.

Training Team's Interaction With Client System

Members of the team initially decided to consider the total firm as their potential client system and to focus their intervention efforts on the program to which they belonged. In their program they perceived low staff morale, inadequate communication as well as unclear decision-making procedures and responsibilities as major problems they wanted to solve.

The firm's primary mission was to develop and test educational products, including curriculum materials for students and training materials for educators. The organization was eight years old. It received most of its funds through contractual agreements with federal, state and local educational agencies. The short-term nature of most contracts contributed to an environment marked by much uncertainty and job instability. Governmental guidelines and regulations also kept the organization vulnerable to outside pressures and demands. The firm's organizational structure was fairly traditional with a top management and several program directors who headed up autonomous work units.

The program in which Sandy, Barbara and Duncan worked was among the oldest and best funded in the firm. At the time they began their training, the program was entering the last year of its federal contract and about to start planning to phase out or search for new funds. The uncertainty of the program's future was a major worry for many program members.

Entry

The team first contacted the associate director for the firm to explain their plans to become PETC-III trainees and their desire to consider the total firm as their client system. The associate director approved of their idea and agreed to authorize their project with the following memo to all program directors:

> Barbara, Duncan and Sandy, working as a consultant team, are about to start a training program under the auspices of our firm. The program is Unit III of Preparing Educational Training Consultants program (PETC-III).
>
> This training program will occur over nine months, during which time the consultant team is authorized to conduct an OD project focusing primarily on their own program. However, it is possible that their project may have implications for other programs. Should this be the case, we hope you will be willing to work with them on a voluntary basis. The OD project will be monitored by the senior trainers and developers of PETC-III.
>
> We appreciate your willingness to assist them in conducting this project.

Although the memo produced requests for consultation from two programs in the firm, the team members turned down the other requests and renewed their decision to work in their own program.

They proceeded with several activities to build a consultative relationship and credibility with their program colleagues. They began by meeting with the program director and the management group. Members of this group thought an OD project was a good idea and gave their approval. They suggested the team should next discuss the project with all members of the program staff and the team agreed.

What the team did not realize at the time was that the associate director's memo had produced much resentment and had already sparked forces to mobilize against them. As one program member described the situation to Barbara, "There were huddle leaders. Someone would say, 'Have you heard about what they are going to do?' and a group would go into someone's office, close the door and start complaining."

Unaware of these events, the team carefully planned to present the idea to program members. They planned a ten-minute agenda in which the program director would introduce them. Then they would state their proposal and answer any questions that were generated. Their presentation did not go as they had planned in any respect. The program director missed the meeting that day, so they started by explaining their plans to become PETC-III trainees and their desire to have the program as their client. They presented the memo from the associate director, implying that he wanted them to work with the program and that he had legitimized their efforts.

The team was unprepared to respond to the explosion that followed. Authorization from the associate director was perceived by several members of the program as something top management of the firm was "laying on them" and they stated their resentment in loud and angry voices. Other program members expressed a general distrust in Sandy, Barbara and Duncan; perhaps they were afraid the PETC team would use consultation to increase their own influence on program goals and policy or perhaps they had wanted the PETC training for themselves. Still others saw the proposed project as unnecessary since the program already had a committee for organizational improvement and a committee on communication. A final group of program members challenged the skill of team members and questioned the utility of OD and planned change as a means to improve organizational functioning. One person called the team "naive," and Barbara reported, "That remark really made us feel dumb and incompetent." Sandy said he had been stunned since, "After all, we thought they knew we had the program's interests at heart."

As the meeting continued, some people left, others repeated their concerns and resentments and the PETC team continued to ask for staff acceptance. Finally, they received permission by a narrow majority vote to collect initial diagnostic data. Members of the program directed the team to develop their own questionnaire and not to use some "canned instrument" that would not "get at the real problems."

The team came out of this meeting planning to proceed, but bewildered by the distrust of their colleagues and apprehensive about their own ability to continue. Sandy said, "We felt stunned and sabotaged."

Diagnosis

The team proceeded to develop two questionnaires for collecting diagnostic information from program members. The first questionnaire asked program members to list major problems facing the program. The PETC team summarized the responses, identifying six major problem areas and providing examples of each: (a) communication, (b) management and coordination, (c) decision making, (d) resource utilization, (e) interpersonal relationships and (f) morale and program identity.

When the team posted a summary of responses to this questionnaire on the program's bulletin board, several program members complained that anonymity of respondents had not been adequately protected. They accused the team of violating a trust and said that the team had gone beyond the authorization given them at the program meeting.

Within a week, emotions and resentments were running high. Even members of the program who had been supportive in the beginning started to back away. The PETC team sensed the seriousness of the situation and persuaded members of the program to meet with them and straighten things out. About this meeting, Barbara later quipped, "I wore my old clothes and Sandy brought his teddy bear." Sandy delivered the following rehearsed statement at the meeting.

> "First and foremost, we are motivated by our desire to help build in and improve the functional capacity of our organization, to bring about normative and structural changes if and when it is feasible and desirable to do so.
>
> Our other motives are to complete the PETC-III training since this is required for our jobs. We have done some things we feel real good about and we have done some things we do not feel so good about. We did not feel very good about the way in which our desire to carry out an OD project in the laboratory was perceived by some program members as being a *fait accompli*.
>
> We did not feel very good about the fact that everyone did not understand the information we were collecting would become public information for program members and that some people were displeased with the procedures we used to identify the statements people made when they did not wish these made public.
>
> We recognize that our behavior is awkward at times, if compared with that of consultants who have had years of experience--that we may make blunders at times, may do things, and may say things that some people will find offensive. Perhaps as we continue our PETC-III training, these kinds of instances will become less prevalent.
>
> When and if the blunders do occur, we want to assure you that they are not intended to be hurtful and we'll welcome the opportunity to discuss your concerns with you."

Program members sensed Sandy's earnestness and sincerity and this presentation gave some new life to the team's effort. Members of the program agreed to meet again in two weeks so the team could formally present the data collected by the second questionnaire. Barbara said, "We thought they were ready to go ahead."

Shortly after the meeting, the team distributed the second questionnaire. This instrument asked program members to rate the importance of each of the problem areas identified on the first questionnaire with a five-point scale.

At the next meeting, the team summarized the findings of the second questionnaire and suggested that the following four problems seemed most crucial:

1. Vulnerability to the outside funding agency tying up excess energy
2. Communication problems within the program and the total firm
3. Confusion over decision-making procedures and responsibilities
4. Interpersonal problems and low staff morale

They asked members of the program to discuss this information in small groups and choose one problem as the focus of future OD efforts by the PETC team. The small groups discussed the problems with difficulty and with some resentment. Finally the total group came together and identified the third problem as the one they wanted to work on.

Just as the meeting was about to conclude, the program director shared a new proposal. Up to this point in the meeting, he had been relatively uninvolved in the discussion, but now he said that he thought the PETC team should work with the management group rather than the total program. He thought this would allow most program members to get out of the client role and still give the PETC team a client group so they could continue their training. After his proposal, only one program member suggested that the project continue with the total staff as the client, and the team never again approached the total program staff, nor were they ever asked to by staff members.

Termination

Three weeks later, the team met with the program director and again described the major issues facing the program as revealed by their diagnosis. The team's log from this meeting reveals that the program director was "not in any mood to listen." He was "very discouraged with their OD project because the program was going to run out of funds in 15 months and it no longer made sense for them to work with the management team."

The team did meet with the management group once more, but no plans or commitments for consultation were made. They reported in their logs that from this point on, they limped through the remainder of their PETC-III training, but made no further attempts to locate a client group.

Summary and Questions

Sandy, Barbara and Duncan's study is an excellent example of the surprises that can result from the best laid plans. They planned to make entry by gaining "legitimacy" before "credibility" in what Barbara called "the proper, top-down" way, but discovered this movement created resentment. They planned to collect diagnostic data to spur their colleagues into action, but instead aroused a great deal of defensiveness. They planned to go on with more planning once the priority problem was identified, but the program director's proposal surprised them.

This story suggests sets of questions:

1. What are the gains and losses of seeking legitimacy from formal leaders in the larger organization who are not members of the prospective client system?

   In what ways was the time that this team spent with the firm's associate director more necessary or more damaging than the time Doris and Lorraine spent with the area superintendent and the principal of Central High School?

   How can power issues between members of the client group and persons "higher up" in the organization be uncovered and dealt with?

2. What kinds of special issues arise in consultation with client groups that have an uncertain future?

   How are these similar to or different from a new and permanent subsystem such as Tim and Bill worked with?

3. How can an intervention team feed back questionnaire data in ways that are engaging, yet protective of the anonymity of individuals in a small group?

   In what ways should a survey-data-feedback diagnosis be modified when norms of the client group are not supportive of openness and candor?

4. How should PETC-III trainees present themselves during their practicum experience?

   What blend of reliance upon expert, referent, legitimate, reward and coercive power is preferable?

5. What were the assumptions upon which this team based its intervention?

   What kinds of assumptions regarding the nature of an organization (power issues, the internal consultants' role in the client group and how to make entry) would have helped this team avoid the traps it fell into?

CASE 5
DICK AND BEN: SCHOOL DISTRICT'S INTERVENTION IN A MANAGEMENT TEAM

This case illustrates the ways a superintendent and deputy superintendent used PETC-III training as they carried out management training in their own school district. Organizational development skills and concepts became a way of life for these two administrators as they relied on the legitimate power of the positions to facilitate change.

Training Team

When his PETC-III training began, Dick was in his second year as superintendent in the North Shore School District. He had completed seven years of teaching, two years of staff work and five years in administration. He had also done consulting work for two years. Before enrolling in PETC-III he had completed most of the PETC-III prerequisites along with training in organizational development during his graduate program.

Ben, the deputy superintendent, had completed ten years of teaching, two years in administration, and five years as a consultant in a state department of education. He had completed all of the PETC-III prerequisites and, in addition, had spent six months interning in the Learning Systems Institute at Michigan State University.

Both Ben and Dick enrolled in PETC-III because they thought it would help them make needed changes in the district. Because the North Shore area was in transition from a rural to a suburban community, the incongruity between old and new had created a tremendous amount of conflict. This conflict existed between the administrators and teachers, between the school people and the community, and between the school board and the district's management team. These conflicts had surfaced just before Ben and Dick were hired by the school board and had resulted in a teacher strike.

When Dick and Ben took over the responsibilities of managing the school district, they believed many changes were needed. Dick said, "Whether we wanted to recognize it or not, change was occurring around us and was going to be the mode in education in the 70's. We could anticipate change in management-labor relations, change in community-school relations, change in all aspects of education. The district was ten to fifteen years behind in making needed changes. As sensitive educational managers, we knew that the public schools had to change if they were to remain viable."

Dick and Ben began looking for a model to help them explain and give direction to the dynamics of change that were going on around them. They wanted to operate from a common base of understanding and they thought PETC-III training would give it to them. They did not begin the training with a single preconceived notion of what ought to be changed in the district, but rather one of, "We don't know what the future will be but we do know there are alternative futures. Let's get on with the business of getting those defined, developing plans for what might unfold."

Another reason why Ben and Dick enrolled in PETC-III was that they believed all online managers should have skills in organizational development. They not only wanted this type of training for themselves, but they also wanted to make it available for all the other managers in the school system. To provide the necessary training, Ben and Dick thought the district would need a cadre of trainers. That was their involvement in PETC-III as an initial step in building such a cadre.

Training Team's Interaction With the Client System

The North Shore School District was an important organizational entity in the 48-square-mile area it served. This area was rapidly moving from a rural agricultural community to a suburban bedroom community for a large metropolitan area. Although the transition had slowed down in the previous two years, it was still rapid enough to cause considerable stress in the educational community.

The pluralistic constituency of the school district included educated professional people as well as uneducated low-income migrant workers. Many people living in the district were transients who were basically uninvolved in their community. This fact had made it difficult for district educators to identify the needs of the children in the district and to develop programs for them. The district did not have the basic organizational elements to provide clear communication lines, adequate problem-solving processes and procedures to address satisfactorily the problems of the different populations in the community. The district educators had had a tendency to respond to its pluralistic clientele with identical responses that were often inappropriate.

For the purpose of the PETC-III training, Ben and Dick decided to identify the district's management team as their client system. The management team included central office administrators, building principals and their assistants. Dick and Ben thought the management team was a fairly "weak link" in the district and needed to develop higher level skills in management and organizational development.

Dick and Ben had a strong power base; they had a great deal of legitimacy and clout because of their positions as superintendent and deputy superintendent. They were viewed as experts because of their extensive experience and were seen as "movers and shakers." However, this excess of power was not an unmixed blessing. They believed some people suspected them of manipulating people and resented them when they instigated projects.

Entry

Dick and Ben did not make "entry" in the common sense of the term because they were firmly established in the district when they began their project. Although Ben and Dick did not make a deliberate effort to announce that they were using the board and management team as their clients, members of the management team were aware that the two administrators were involved in PETC-III training.

Furthermore, Dick and Ben did not have to make entry because they did not want to be "consultants" in any formal sense. They typically worked with their client group and saw PETC-III as a means to do better what they already were trying to do. In some ways, Ben and Dick wanted to behave as clients of the PETC-III senior trainers. They wanted to use PETC-III training as a tool for bringing about change in their own organization as well as to receive consultation from the senior trainers and other PETC-III trainees. They saw PETC-III as providing them with some additonal skills for carrying out their OD work and a forum to test some of their ideas before putting them into practice.

Diagnosis

Dick and Ben's initial analysis of the organizational characteristics of the district revealed three major areas in which they wanted to work: (a) to improve the management structure, (b) to develop effective methods and techniques for dealing with their unstable pluralistic clientele, and (c) to establish both short- and long-range plans to implement their goals.

By February they thought the district's greatest need was improvement of the district's management structure. There was a lack of clarity and agreement about the role and responsibilities of the board as well as about the activities of administrators with their various constituencies. Because the professional and public relations efforts of building administrators had been unsystematic and disjointed, there was a lot of confusion in the community and in the school district itself. Dick and Ben saw a need for planned interventions to improve ways in which administrators and teachers worked together. They wanted to concentrate on the way district staff members solved problems, communicated with each other and decided what roles they would play.

Dick and Ben believed it was extremely important to build a strong sense of "teamness" within the group of building and district administrators. Instead of a more traditional structure in which building administrators worked autonomously from each other, Dick and Ben envisioned a structure in which principals would give each other support to try out new management behaviors.

In early March, Ben and Dick helped management team members use a published self-assessment instrument to examine their management behaviors. And during a number of meetings of this group, Ben and Dick took turns observing processes and providing feedback for the participants. In one meeting, Dick played the role of an "autocratic superintendent" and found that management team members seemingly preferred this style to his usual, nondirective behaviors. Because he had not warned Ben of how he was going to act at that meeting, Ben was angry. Ben told Dick, "You played the role so well that maybe you really are autocratic and have just been playing a game with this nondirective stuff." Dick was surprised at Ben's response and they had to spend time discussing this incident.

Interventions

After these assessment activities, Ben and Dick revised the district's organizational chart to display interdependencies among roles. They presented the new chart to management team members for their reactions. In this way, Ben and Dick hoped to involve all management team members in negotiating and defining their own roles. According to Ben and Dick, "We thought new role definitions for principals made them stronger and provided a problem-solving structure that was more appropriate for the district's pluralistic publics."

In April, when the budget levy failed and a number of administrative and teaching positions had to be eliminated, Dick and Ben asked the management team to help decide which positions should be eliminated. Soon afterward, actions of the state legislature provided additional funds for the district and three administrative positions were added to the management structure. Dick and Ben then helped the management team write descriptions of the new positions that included descriptions of the roles and management reponsibilities, and also served as criteria for employing new personnel.

Between June and August, Ben and Dick convened a number of team-building retreats for the management team. In these sessions the management team continued to work on critical problems facing the school district, to identify responsibilities and to clarify interdependencies. Ben and Dick's diagnostic data were used to help the management team make decisions about these issues.

In July, Ben and Dick received word from NWREL that the North Shore district could become a field test site for PETC-I. Since they thought this kind of training would be a way to facilitate team building in school faculties as well as to build skills in their managers, they decided the district would participate. Ben and Dick served as trainers of the PETC-I workshops and provided at-elbow supervision while the other district and building administrators did their practicum workshops in group problem solving. Although all but two managers in the district participated in this activity, Ben and Dick said that the effort was only 50 percent effective. Dick reported, "Since we were involved as PETC-I trainers, as well as being top administrators in the district, other managers kept getting our roles confused."

Outcomes

During the PETC-III training, Ben and Dick decided on a number of changes they wanted for the district. First, they created long-range plans to make every elementary school attendance area into a "family" of agencies serving children, parents, the community and school. Each attendance area was to create a miniboard with particular responsibilities and decision-making powers.

Second, they clarified numerous other goals for the district and established timelines for accomplishing each one. For example, they wanted "a significant proportion of all district staff, students, parents and staff of other public agencies in the area to gain skills in interpersonal communication and group problem solving within three years."

DISCUSSION AND RECOMMENDATIONS

The preceding sections have described the experiences of five trainee teams as they went through PETC-III training and as they attempted to conduct their first organizational development projects. In this section, some of the common problems faced by these trainees are highlighted. Also made are recommended procedures that neophyte consultants might follow to avoid some of the pitfalls that so often led the people in these case studies into difficult situations.

This concluding section is organized around four problem areas that seemed to recur across the cases. These include problems associated with (a) scouting and defining a client system, (b) making entry and establishing a client-consultant relationship, (c) intervening as an internal consultant, and (d) exhibiting appropriate degrees of authenticity and assertiveness.

Scouting For and Defining the Client System

A well established organizational development consultant makes his or her availability known and establishes a reputation for being able to help by having certain kinds of expertise. Therefore, first contacts between a professional consultant and a client system most often are initiated by the client system's request for help.

This typically is not true for PETC-III trainees because they do not perceive themselves as having much expertise. Also, they do not have reputations built on past consulting experiences. Because clients do not come to PETC-III trainees asking for help, trainees must scout for and seek out client systems to whom they will offer consultation.

In most of the cases presented in this monograph, PETC-III trainees reported a great deal of anxiety and frustration around securing a client system. They appeared to have an easier time when they attempted to work with fairly small systems whose boundaries could be defined easily. They were most successful when they looked first to a client system with which they had had some sort of favorable relationship in the past. The cases of Mark and of Tim and Bill particularly illustrate this point. Staff members at Mark's school willingly entered into a relationship with him and he was able to work successfully with them over a period of time. The same seems to have been true for Tim and Bill because Tim worked within the agency. Contrast their experiences to those of Lorraine and Doris, who didn't find a client system until the training was almost over, and to the case of Sandy, Barbara and Duncan, who lost their client system shortly after a stormy start.

From the study of these cases and from our knowledge about the experiences of other PETC-III trainees, we feel confident in making the following recommendations:

Recommendation 1: Find out as much as possible about a potential client system before initiating formal discussions.

Through observations and discussions with key people, the trainee team can make tentative assessments regarding the readiness and willingness of the client system to receive consultation. Conversations with members of the potential client system can give the trainee team a clearer picture of the problems client system members face. Perhaps more importantly, they can provide a diagnosis of the energy that the client system has available to work toward solving its own problems.

Recommendation 2: Precisely define the system to whom an offer of consultation is going to be extended.

The PETC-III instructional system advises trainees to work for organizations rather than for collections of individuals, small groups or committees. However, even though organizational concerns should remain prominent in the consultant's mind, actual client systems are never an abstract organization, but rather clusters of people within an organization who come together to perform common tasks. These clusters might include all the teachers who provide instruction to students in a particular school, the parents charged with recruiting other parents and ensuring their involvement or the specialists who design curricular and instructional strategies in a research and development firm.

The importance of clarity about who belongs to the client system is well illustrated in these case studies. Mark, as well as Tim and Bill, drew the boundaries of their client systems clearly and then made direct contact only with those who were to be involved in the interventions. Lorraine and Doris, on the other hand, remained very unclear about whom they wanted to work with and talked to many people who did not belong to that potential client system. Sandy, Barbara and Duncan similarly defined their client system differently over time--first as the total research and development firm, then as the staff of the program to which they belonged, as the program's management team, and finally as no one.

Making Entry and Establishing Relationships

The dynamics of entering client systems and establishing positive client-consultant relationships test the expertise and capacities of the most experienced consultants. It is not surprising, therefore, that neophyte consultants find this process so difficult, frustrating and, at times, impossible to complete.

The cases in this monograph illustrate that the procedures to follow during entry and relationship-building can vary. Mark made entry with a "grass-roots" approach, whereas Sandy, Barbara and Duncan, as well as Tim and Bill, made entry from the "top" of the organizational hierarchy. Lorraine and Doris relied on informal procedures; Dick and Ben relied upon the power of their positions and never explicitly revealed their intentions to their client system.

After studying these cases, we believe that the following recommendation might assist future trainees:

Recommendation 3: From the beginning, be clear about the goals of the project and be prepared to repeatedly state these to clients.

Unlike many industrial and public service organizations, school organizations typically have had little experience with OD consultation. Consultation in education, when provided at all, usually consists of outside experts coming to help for a short period of time and proposing solutions to specific problems. The self-reflexive nature of OD consultation and the long-term commitment required often seem discrepant and confusing to many people in schools. Because of this situation, consultants should state their goals and explain their methods precisely and frequently. The consultants should also be prepared to supplement words, which most often prove to be insufficient, with handouts, graphic displays and demonstrations.

Recommendation 4: Establish relationships with key authorities early, but simultaneously engage all members of the client system in contract negotiations.

The PETC-III trainees are advised to acquire permission for their OD projects from the "top of the organizational hierarchy." Although this advice seems sound, cases in this monograph indicate that this kind of permission is often insufficient. The teams of Lorraine and Doris as well as of Sandy, Barbara and Duncan had permission from top administrators. Their work was even encouraged and supported by these people. However, they, as well as Dick and Ben, did not have permission from the actual groups of people to whom they wanted to provide consultation. Lorraine and Doris remained unknown to the parent group for several months. Sandy, Barbara and Duncan were known, but never overcame the resentment of those who perceived the project as being "laid on them" by top level administrators. Dick and Ben directed management team members to participate in PETC-I. Had these teams met with all members in their proposed client systems earlier, their contract-negotiation efforts could have been more explicit and may have been more successful.

Intervening as an Internal Consultant

Most PETC-III trainee teams select client systems which they already belong to or with which they have had some prior relationship. Thus the trainees are viewed typically as "internal" to the systems to which they provide consultative services. The inside position can be used to advantage as illustrated by the cases of Mark, of Ben and Dick, and of Tim and Bill. The inside position gave these consultants information about their client system that might have been impossible for outsiders to acquire.

The inside position can also have its disadvantages. In the case of Sandy, Barbara and Duncan, client mistrust of their motivations was never sufficiently overcome so an actual intervention could occur. Dick and Ben, legitimate leaders as top administrators in the district, found that their "insidedness" facilitated their own planning and attempts to promote change, but backfired when others viewed them as manipulative.

Although there are no definite suggestions to follow in dealing with the inside position, we believe the following recommendation is worthy of consideration by future PETC-III trainees:

> Recommendation 5: Remember that the internal position is a two-edged sword. Exhibit caution and attention to ethical issues in planning ways to capitalize on its advantages and to counteract the disadvantages.

Exhibiting Appropriate Degrees of Authenticity and Assertiveness

A final area that can be discussed from the five cases in this monograph has to do with the struggles of neophyte consultants to be authentic about their own values and beliefs as well as to be assertive in constructive ways toward their client systems. We suspect that PETC-III trainees, like all of us when we attempt something for the first time, felt unsure of themselves. In every case, trainees reported their OD projects would have been more successful had they been more authentic and assertive. Mark couldn't say "no" when requests for help kept coming even when he was tired and felt "burned out." Lorraine and Doris were reluctant to insist on being introduced to their clients. Tim and Bill wondered if they were being "used" by the department director to do his work instead of to provide consultation. Sandy, Barbara and Duncan said they would confront members of their program who were sabotaging their efforts if they had it to do over again. Only Dick and Ben were in a position to mandate participation for others and that fact caused them problems.

The literature on consultation is filled with advice to consultants on this topic. The only thing to be added as a recommendation follows:

Recommendation 6: The neophyte consultant should remain aware of his or her feelings of insecurity and recognize that problems can occur when authenticity and assertiveness are lacking or when legitimate power must be substituted for genuine two-way negotiation with potential clients.

Future PETC-III trainees who read the cases certainly may come up with other conclusions and recommendations for themselves and their peers. It is certainly our intent this should happen, especially as others bring to these cases their knowledge of interventions by both neophytes and experienced consultants. Hopefully, the questions at the end of each case and these recommendations will encourage and support this kind of discussion and analysis.

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